

E.T.A. HOFFMANN'S 'ROMANTICISM':
ASSIMILATION AND ADAPTATION

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Abstract of Thesis

The intention of this thesis is to help clarify the confusion existing in literary criticism about the degree of E.T.A. Hoffmann's 'Romanticism'.

Chapter I deals with the problem of arriving at a satisfactory definition of what actually constitutes a Romantic work. While not claiming to provide an all-encompassing definition, it works from the assumption that there are a number of elements common to the majority of works classed as Romantic: the conception of the imagination as a radically creative force, symbolic expression as a means of circumventing the problem of the inadequacy of language to portray poetic insight and the complexity of the universe, a belief in a fall from an original state of harmony and innocence and, finally, the importance of particular literary antecedents of whom it was thought that they exemplified elements of 'das Moderne' in art. It is contended that in terms of such a definition, Hoffmann must be regarded as a Romantic. Chapter I then goes on to discuss secondary literature which has concerned itself with the problem of E.T.A. Hoffmann's 'Romanticism'.

Chapter II shows that Hoffmann's interest in psychology and the so-called 'Nachtseiten' does not constitute a shift away from Romanticism but that, rather, this interest should be regarded as a logical development of his 'Romanticism'.

Chapters III, IV, V, and VI deal with Hoffmann's oeuvre from the Fantasie- und Nachtstücke to Des Vetters Eckfenster. They show that in terms of the definition of Romanticism outlined in Chapter I, Hoffmann remained a Romantic throughout his life.

The conclusion provides not only a summation of the thesis but also points to the future by suggesting that Hoffmann's development of Romantic aesthetics through the practice of writing made a significant contribution to the development of the novel. Further, that his works in many respects pre-empt the existential and aesthetic problems discussed by the Modern and Post-Modern movements.

CONTENTS

CHAPTER I:	Romanticism: A Continuing Problem of Definition	1.
CHAPTER II:	The Necessary Step from Philosophy to Psychology	33.
CHAPTER III:	Unity in Diversity: E.T.A. Hoffmann's <u>Fantasie- und Nachtstücke</u>	58.
CHAPTER IV:	<u>Die Elixiere des Teufels</u> and the Artist's Quest for the Antidote	111.
CHAPTER V:	<u>Die Serapions-Brüder</u> : Dualism as the <i>Conditio Humana</i>	155.
CHAPTER VI:	<u>Prinzessin Brambilla</u> and <u>Des Vetters Eckfenster</u> : The Reaffirmation of Faith	208.
CONCLUSION:	Hoffmann's Romanticism: Stasis, Evolution, Revolution	250.
NOTES:	Chapter I	262.
	Chapter II	269.
	Chapter III	275.
	Chapter IV	284.
	Chapter V	290.
	Chapter VI	296.
	Conclusion	301.
BIBLIOGRAPHY:		303.

CHAPTER I

ROMANTICISM: A CONTINUING PROBLEM OF DEFINITION

Periodisation of an author's works can only be justified if some methodological gain accrues, yet despite this fact the compartmentalisation of literature into rigid, mutually exclusive epochs appears to have taken a firm hold on literary criticism. It cannot be doubted that the desire to group together works of literature of the same period, or which express the same 'Zeitgeist' is strong, however, the creation of a synthetic unity is, in itself, no justification. Perhaps it is time that its practitioners learnt a lesson that historians and philosophers learnt some time ago, namely that periodisation, because of its very synthetic nature, cannot be an end in itself.

It is a corollary of all periodisation that the application of a classification, be it Baroque, or Realism, by implication involves taking a particular approach to a work, the danger then being that instead of acting as an interpretive aid it all too easily becomes a methodological strait-jacket. The problem is further exacerbated in the case of Romanticism as a result of the fact that no set definition of Romanticism exists, with research moving in a number of sharply diverging directions.

It is true to say that a satisfactory definition

of Romanticism encompassing its varied European manifestations continues to elude us. Writing in 1924 A.O. Lovejoy already questions the possibility of ever finding an adequate definition to unite the, in his opinion, disparate literary movements in the various European states, all of which have been termed Romantic.¹ For the purpose of this work such a conclusion does little to help us forward, however, Lovejoy's very scepticism about finding a satisfactory definition should, perhaps, warn us against casting our net too wide.

Equally, however, others have approached the problem of defining European Romanticism by perceiving a certain manifestation in a certain country at a certain time and then attempting to apply conclusions gained in this way generally. Mario Praz is an interpreter who has tackled the problem in this way.² In his immensely stimulating and satisfying work, Praz unashamedly claims to perceive a unifying element in erotic sensibility. However, one need only peruse the authors with whom Praz concerns himself to see that, despite Frank Kermode's praise in the foreword to the second edition, namely that in terms of the authors dealt with 'The scope of this book is, obviously, enormous', the treatment of the German Romantics is at best sketchy.³ Thus we have only a brief reference to Novalis and Friedrich Schlegel, Hoffmann is only mentioned in conjunction with Lewis' The Monk, and writers of the stature of Brentano, Eichendorff and Tieck are not mentioned at all!

When, in the introduction to The Romantic Agony Praz writes: 'The epithet 'romantic' and the antithetical terms 'classic' and 'romantic' are approximate labels which have long been in use' and then goes on to bemoan the fact that 'The philosopher solemnly refuses to allow them, exorcising them with unerring logic'; we are given reason to hope that he will provide us with a more specific definition, we are, unfortunately, left disappointed. At the end of the day what we are given is an exposition of a particular manifestation of some Romantic works, but no definition of Romanticism.⁴

Perhaps in response to attacks on his "On the Discrimination of Romanticisms", Lovejoy, in a subsequent article, "The Meaning of Romanticism for the Historian of Ideas", offers us three divergent and in many respects antithetical categories under which Romantic works can be grouped; these are organicism, dynamism and diversitarianism.⁵ The point that should be borne in mind about these categories, something which Lovejoy does not make explicit but which is nevertheless implicit in the article, is that they need not be regarded as mutually exclusive. As a result, one could venture the opinion that his 'Romanticisms' contain all three elements, only the proportion of each in the sum total varies. It is the mixing of poetic elements, something to which we shall return later in this chapter, that marks out the Romantic work. Rather than regarding the Romantic work as something completely new which so to speak appears in an intellectual vacuum, it is a

composite of the old, organised in a new way and put to new poetic use. Thus, when writing about the novel Friedrich Schlegel can say:

'Absoluter R(oman) = ps(ychologischer) R(oman)
+ ph(ilosophischer) R(oman) + F(antastischer)
R(oman) + absolute M(imik) + absolut S(enti-
mental-) F(antastisches) + absolutes p(oetisches)
D(rama) + rh(etorisches) D(rama) + proph(etie).-' 6

This, in turn, leads Schlegel to conclude:

'Im absoluten R(oman) muß alles verschmolzen
werden, und was nicht verschmolzen werden kann,
muß wegbleiben.' 7

The question of why the phenomenon we term Romanticism suddenly became a dominant artistic force in the late eighteenth and early nineteenth centuries is answered in part by Morse Peckham in "Toward a Theory of Romanticism".⁸ Peckham sees the motive force behind the cataclysmic change in the European world view as a shift away from a conception of the universe as a static mechanism to a conception of the cosmos as a dynamic organism.⁹ The importance of conceiving of the universe in this way is that anything that can change is by definition imperfect with the result that the assumed perfection of the present is in fact imperfect. the artist can therefore become radically creative and original because it is possible for him to be the instrument by means of which something new is created.

The conception of the creative imagination arises from the fact that if the universe is constantly creating itself, then the mind of man must also be creative, and the imagination is elevated to the status of radical creativity:

'Now the artist is original because he is the instrument whereby a genuine novelty, an emergent, is introduced into the world, not because he has come with the aid of genius a little closer to a previously existent pattern, natural and divine.' 10

Peckham then goes on to say that the artist is the man who creates symbols of truth. He can think metaphorically and as a result, only art adequately portrays the complexity of the universe, albeit symbolically.

On symbolism, Peckham makes a point that is of major importance and brings us closer to one of the most important contributions of Romanticism to the development of literature in general and narrative fiction in particular; namely, the relativity of the symbol in terms of the relationship between the experiencing subject and the aesthetic object:

'The now current though probably not widely accepted critical principle that a symbolic system is capable of an indefinite number of equally valid interpretations is itself a romantic idea, in the sense that the work of art has no fixed or static meaning but changes with the observer in a relationship between the two which is both dialectical, or dynamic, and organic.' 11

If the work of art is thus divested of any direct ontological meaning in terms of a message then its function can only be that of generating reflection in the reader on the tenets of its creation. Here we have in a summarized form the core of Friedrich Schlegel's aesthetics and those of Romanticism; the representation of truth can never be achieved adequately but insight into it can be generated if the reader can enter into a relationship with the writer and the work which is both original and

unique:

'Der analytische Schriftsteller beobachtet den Leser, wie er ist; danach macht er seinen Kalkül, legt seine Maschinen an, um den gehörigen Effekt auf ihn zu machen. Der synthetische Schriftsteller konstruiert und schafft sich einen Leser, wie er sein soll; er denkt sich denselben nicht ruhend und tot, sondern lebendig und entgegenwirkend. Er läßt das, was er erfunden hat, vor seinen Augen stufenweise werden, oder er lockt ihn es selbst zu erfinden. Er will keine bestimmte Wirkung auf ihn machen, sondern er tritt mit ihm in das heilige Verhältnis der innigsten Symphilosophie oder Sym-
poesie.' 12

Art in this, its most highly developed form,

Schlegel termed 'Transzendentalpoesie':

'Es gibt eine Poesie, deren eins und alles das Verhältnis des Idealen und des Realen ist, und die also nach der Analogie der philosophischen Kunstsprache Transzendentalpoesie heißen müßte. Sie beginnt als Satire mit der absoluten Verschiedenheit des Idealen und Realen, schwebt als Elegie in der Mitte, und endigt als Idylle mit der absoluten Identität beider. So wie man aber wenig Wert auf eine Transzendentalphilosophie legen würde, die nicht kritisch wäre, nicht auch das Produzierende mit dem Produkt darstellte, und im System des transzendentalen Gedanken zugleich eine Charakteristik des transzendentalen Denkens enthielte: so sollte wohl auch jene Poesie die in modernen Dichtern nicht selten transzendentalen Materialien und Vorübungen zu einer poetischen Theorie des Dichtungsvermögens mit der künstlerischen Reflexion und schönen Selbstbespiegelung, die sich im Pindar, den lyrischen Fragmenten der Griechen, und der alten Elegie, unter den Neuern aber in Goethe findet, vereinigen, und in jeder ihrer Darstellungen sich selbst mit darstellen, und überall zugleich Poesie und Poesie der Poesie sein.' 13

To be worthy of the term transcendental, therefore, literature has to possess the inbuilt capacity of generating reflection in the reader on the determinants of its own creation. Insight and representation therefore stand in an antithetical relationship.

By the very act of reflection the transcendental art form is destroyed. The form of the work of art has to encourage such reflection which in turn creates the preconditions for insight in the experiencing subject. The unity of the antithetical moments of subject and object which it is the task of 'Transzendentalpoesie' to create spontaneously in the mind of the reader can only be achieved by means of such an infinite process of destruction and creation. Following the deconstruction of the text, the reader is confronted only with fictional debris which he has to reassemble in a new form by means of the creative act of insight.¹⁴ Only in this way can 'freedom' determine itself, by a constant becoming: 'ja das ist ihr eigentliches Wesen, das sie ewig nur werden, nie vollendet sein kann.'¹⁵ The constitutive element of all true art is seen as a relationship to the absolute, an absolute that cannot be represented by the act of representation, but which can create the preconditions for insight into its nature.

Symbolism for the Romantics does not merely hint at a general concept, as it does in allegory, but is itself and its general meaning.¹⁶ It is both the 'signifier' and the 'signified'.¹⁷ However active the imagination, however keen its ability to fly, the elements of the artistic construct must of necessity be taken from the sphere of given reality. It is reality which harbours the only objects at the artist's disposal and yet the end result is subtly different.¹⁸

By means of the symbolic expression of the objects

of nature in the work of art, insight into the absolute can be engendered. Friedrich Schlegel's brother August Wilhelm, who in many respects can be regarded as a populariser of his brother's thought, has the following to say on this question:

'Wie kann nun das Unendliche auf die Oberfläche zu Erscheinung gebracht werden? Nur symbolisch, in Bildern und Zeichen. Die unpoetische Ansicht der Dinge ist die, welche mit den Wahrnehmungen der Sinne und den Bestimmungen des Verstandes alles an ihnen für abgethan hält; die poetische, welche sie immerfort deutet und eine figürliche Unerschöpflichkeit in ihnen sieht. Dadurch wird erst alles für uns lebendig. Dichten (im weitesten Sinne für das Poetische allen Künsten zum Grunde liegende genommen) ist nichts anderes als ewiges symbolisieren: wir suchen entweder für etwas geistiges eine äußere Hülle, oder wir beziehen ein Äußeres auf ein unsichtbares Innres.' 19

So far we have had cause to mention three aspects common to the phenomenon we call European Romanticism: the imagination as a radically creative force, the use of the symbol as a means of portraying the complexity of the universe and the notion of the dependence of the work of art on an interaction with an experiencing subject. Finally we have a fourth element common to all the Romanticisms, the idea of a fall from a state of innocence and the belief in a return, albeit at a higher level, to this golden age.

The appeal of such a concept to the Romantics was, in part, because they visualized this golden age in terms of a time in which no barrier between man and his world existed, a barrier created by the twin faculties of intellect and language becoming divorced from the very objects they sought to describe.²⁰ In this golden age

language was direct because it was still the language of nature and thus represented the essence of poeticity. Geoffrey Hartmann underlines the degree of commonality between the separate strands of European Romanticism regarding the concept of the golden age:

'The idea of a return, via knowledge, to naïveté, to a second naïveté - is almost commonplace among the German Romantics. Yet its presence is perhaps more exciting, because suitably oblique, among English and French Romantics.' 21

The connection between Romantic hermeneutics and their application by the Romantic artist is foregrounded by David Wellerby in "E.T.A. Hoffmann and Romantic Hermeneutics: An Interpretation of Hoffmann's "Don Juan"". 22 Wellerby argues that Romantic hermeneutics is

'a set of terms and values recurring in a number of texts of the late eighteenth and early nineteenth centuries and having to do with the status and interpretation of artistic works. Briefly stated, Romantic hermeneutics is a model of understanding as the re-cognition of the sponsoring spiritual source of a work, a re-cognition made possible by the presence of the same spiritual source in the interpreter.' 23

This spiritual affinity between reader and work is underlined by Hoffmann when, in Don Juan he tells us:

'Nur der Dichter versteht den Dichter; nur ein romantisches Gemüt kann eingehen in das Romantische; nur der poetisch exaltierte Geist, der mitten im Tempel die Weihe empfing, das verstehen, was der Geweihte in der Begeisterung ausspricht.' 24

When Hoffmann tells us only the poet is capable of understanding the poet he is of course referring to the creative act required of the 'Romantic' reader. Thus a bond is established between reader and artist which is paradigmatic for the works of Hoffmann in particular and those of

Romanticism in general.

Wellerby also preempts a charge frequently levelled at proponents of such a theory, namely that it is also possible to see such an identification between work and reader in texts which are generally not considered to be Romantic. Wellerby counters this charge by claiming that it is only in the Romantic text that such an identification is crucial.²⁵

While it is indisputable that the Romantics were influenced by the writings of the Idealist philosophers to a major degree, it is clear that a creative writer must also be influenced by other factors. In other words, theory cannot be ignored but correspondingly neither can, for example, a writer's literary antecedents.

One of the primary literary interests of the Romantics was something they rather vaguely termed 'das Moderne'. This modernity was discerned principally in any work of literature which dealt, in their opinion, with the problem of the unity of subject and object, godhead and nature, real and ideal. This unity is a unity they deemed to have existed in the classical era, but simultaneously it was regarded as an ideal towards which they considered history to be progressing. The emancipation of the individual from nature and its concomitant individuation had marked the end of the classical era, man was now decentered, yet it is precisely because of a clear awareness of the past and the future that the Romantics were drawn to works of literature which appeared to underpin their theories and

poetic aims.

Movements are not created fully formed like Athene springing from Zeus' head and similarly it would be folly to regard the Romantic movement in isolation from what had gone before or was happening coincidentally. However, although a number of literary works influenced the Romantics decisively we should not allow ourselves to be seduced into believing that influence necessarily means the wholehearted acceptance of the poetic aims of these works. It is probably more accurate to say that the works which influenced the Romantic movement contained elements which attracted them. A brief look at some of the utterances of Friedrich Schlegel on poetics shows clearly why certain elements in pre-Romantic works influenced the movement.

No one would be foolish enough to claim that the frequent fulfilment of Schlegel's aesthetic demands by the Romantic movement was merely an example of writers writing to please Friedrich Schlegel. As Eichner points out in the case of Brentano: 'it is obvious that Brentano modelled his work on Schlegel's theory of irony and arabesque form,' however, he continues: 'though it must be pointed out that in doing so he time and again used devices that were much older than the Romantic movement.'²⁶ The apparent congruence of theory and artistic practice becomes clearer if we regard Schlegel more as a synthesiser of an increasingly dominant mode of literary procedure.

Romantic prose is by definition, as are all genres, an admixture of the existing with an infusion of the new. Thus Friedrich Schlegel tells us that Romantic prose is a

mixture of satire, mimesis and idyll:

'Ueberwiegt das Idyll(ische) so ists ein sentimentaler Roman, das Sat(irische) so ists ein komischer, das Progressive so ists ein philcs(o-phischer) Roman. Aber alle diese Extreme sind fehlerhaft weil dadurch das Wesen des Romans selbst nämlich die Mischung zerstört wird'. 27

In Fragment 417 we are told that it is the mixing of genres and techniques, a method which the Romantics also discerned in Cervantes and Shakespeare, which is the hallmark of the Romantic.²⁸ It is the method of procedure which, in the main, attracted the Romantics to certain works and led them to reject others. Thus it was not content but form which primarily attracted them to the works of Cervantes, Shakespeare and the works of more contemporary writers such as Fielding and Sterne. We should not assume, however, that those literary antecedents who influenced the Romantic movement were immune to criticism. This is a point made by Schlegel, albeit obliquely, when, while comparing the works of Swift, Sterne and Jean Paul, he remarks that on rereading Fielding he found his work second rate despite the inventive use of humour and the grotesque:

'Ich denke mir die Sache so. Die Poesie ist so tief in dem Menschen gewurzelt, daß sie auch unter den ungünstigsten Umständen immer noch zu Zeiten wild wächst. Wie wir nun fast bei jedem Volk Lieder, Geschichten im Umlauf, irgendeine Art wenngleich rohe Schauspiele im Gebrauch finden: so haben selbst in unserm unfantastischen Zeitalter, in den eigentlichen Ständen der Prosa, ich meine die sogenannten Gelehrten und gebildeten Leute, einige einzelne eine seltne Originalität der Fantasie in sich gespürt und geäußert, obgleich sie darum von der eigentlichen Kunst noch sehr entfernt waren. Der Humor eines Swift, eines Sterne, meine ich, sei die Naturpoesie der höhern Stände unsers Zeitalters.

Ich bin weit entfernt, sie neben jene Großen zu stellen; aber Sie werden mir zugeben, daß wer für diese, für den Diderot Sinn hat, schon besser auf dem Wege ist, den göttlichen Witz, die Fantasie eines Ariost, Cervantes, Shakespeare verstehn zu lernen, als ein andrer, der auch noch nicht einmal bis dahin sich erhoben hat.' 29

Jean Paul is then rated far above Sterne: 'weil seine Fantasie weit kränklicher, also weit wunderlicher und fantastischer ist.'³⁰ When the Romantics praised works, this did not mean that they agreed with everything contained therein but rather because specific elements were deemed to be important for the development of a 'modern' literature:

'Denn nach meiner Ansicht und nach meinem Sprachgebrauch ist eben das romantisch, was uns einen sentimental Stoff in einer fantastischen Form darstellt.' 31

What the Romantics were clearly searching for in their literary antecedents and also in their contemporaries were elements which appeared to reinforce their theories on the function of art and these elements were found in the eighteenth century novel as well as in the works of the older masters: 'Da suche und finde ich das Romantische, bei den ältern Modernen, bei Shakespeare, Cervantes, in der italiänischen Poesie'.³²

Different writers provided the movement with examples of different techniques which all, in turn, were absorbed into the corpus of Romantic theory. In the case of Sterne, for example, he provided them with a concrete instance of a narrative which transforms its own story into its plot, fiction dealing with the tenets of its own creation. Thus when Sterne mocks the convention of the

omniscient, intrusive narrator we cannot help thinking of Hoffmann's insecure, fallible narratorial incursions. Similarly the fictional arabesque is not an invention of the Romantics. The deviation from the straight and narrow of narration is clearly formalised by Sterne in Tristram Shandy when he argues against any attempt to progress in a straight line:

'Could a historiographer drive on his history as a muleteer drives on his mule - straight forward; - for instance from Rome all the way to Loretto, without ever once turning his head aside either to the right hand or to the left, - he might venture to foretell you an hour when he should get to his journey's end; - but the thing is, morally speaking, impossible: For, if he is a man of the least spirit, he will have fifty deviations from a straight line to make with this or that party as he goes along, which he can no ways avoid. He will have views and prospects to himself perpetually soliciting his eye, which he can no more help standing still to look at than he can fly.' 33

Schlovsky is thus perfectly correct when he says of Sterne that he 'even lays bare the technique of combining separate story lines to make up the novel. In general he accentuates the very structure of the novel.'³⁴ Clearly what appealed to the Romantics about Sterne's technique was, in the first instance, the foregrounding of the work's structure. By violating the form of the work, Sterne forces the reader to reassess it. Awareness of form as a direct violation of form is what the Romantics recognised in Sterne's work. There remains, however, a fundamental difference between Sterne and the Romantic writer; for the former literary technique was probably an end in itself but for the Romantic it was a means to an end.

The Romantic writer was, ultimately, concerned with the problem of the inexpressibility of the poetic impulse. His aim was to create the conditions for new insight by actively abetting reflection in the reader on the synthetic structure of the work of art.

By putting the reader at the mercy of a narrator who cannot be relied upon, so to speak, the image created is one of confusion, multiplicity and contradiction. Prior to the use of such techniques, as Daniel Wilson points out, this had not been the case:

'Because novelists went to elaborate lengths to claim that their stories were true, many of the new readers of novels seem to have been unaware that what they were reading was fictional.' 35

In place of this, the Romantics cultivated a literary mode of procedure whose aim it is to constantly relativise its own statements, underlining that what is being read is fiction.

Comparing Sterne's Tristram Shandy and Hoffmann's Lebens-Ansichten des Katers Murr, Steven Paul Scher concludes that 'Hoffmann recognised in Sterne the superb craftsman of literary form.'³⁶ Thus while the popularity of Tristram Shandy with the German readership rested largely on it being regarded as in the popular English sentimental tradition, a tradition concerned primarily with content at the expense of form, the Romantics recognised in the novel a prime example of the ascendancy of form over content. Thus when Scher writes:

'Essentially, Hoffmann like Sterne, aims at a fusion of two seemingly antithetical strains. Both Sterne and Hoffmann strive for a semblance of what Friedrich Schlegel designated as "künstlich geordnete Verwirrung" or "gebildetes künst-

liches Chaos", except that in executing his scheme Hoffmann appears even more daringly experimental.' 37

we must agree wholeheartedly with his conclusion. Similarly Scher is correct when he suggests that the interest of both Sterne and Hoffmann is concerned more with narrative strategy than straightforward narration which involves the narrator's conscious manipulation of the characters' freedom of action.³⁸ In the light of this, Wellerby's refutation of the charge that in Hoffmann's stories 'almost nothing happens' and that instead he 'dramatizes interpretive processes' can be regarded as fundamentally correct.³⁹

Another aspect of Sterne's technique which can be found in Romantic narrative fiction is his use of rhetorical conversation. Thus, for example, in Tristram Shandy, Sterne forces choices upon the reader and as a result, the reader is forced to make a choice between alternative possibilities presented by the structure of the work which in turn destabilises the natural tendency to seek for a fixed meaning. This destabilisation makes the reader aware that

'a text is not a line of words releasing a "Theological" meaning (the message of an Author-God) but a multi-dimensional space'. 40

Consequently if a novel has no fixed meaning it is incomplete, something to which Friedrich Schlegel clearly refers when he writes: 'Ein individueller Roman lässt sich nie vollenden da selbst der Begriff der Gattung, sein Ideal nie vollendet werden kann.'⁴¹ Or, in a similar vein: 'Auch die Gesch(ichte) des Romans lässt sich nie vollenden; ist also selbst nur Gegenstand eines F(antastischen) R(omans).'⁴²

Hoffmann's admiration of Sterne is documented in a number of letters in which he refers to him⁴³ and yet as Scher points out:

'Beyond marginal acknowledgement of the biographical details documenting Hoffmann's early familiarity and lifelong fascination with Sterne and occasional identification of a few Sternean traces in his works, Hoffmann scholarship has for more than 160 years virtually shunned the considerable impact of the "English Rabelais" on the German romantic novelist and storyteller.' 44

In attempting to come to a satisfactory definition of Romanticism for the purposes of this thesis a number of categories have been mentioned and accepted as being common to the Romantic movement in all its disparate manifestations: the imagination as a radically creative force in a developing, imperfect universe; the use of symbolism to express its complexity; the conception of the dependence of the work of art on interaction with an experiencing subject (ie. that the work of art is incomplete) and, finally, the belief in a universe developing out of and into itself. Subsequently, using the limited example of Sterne, it was shown that Romantic theory was not merely the product of philosophical speculation but also of techniques acquired by the Romantics from their literary antecedents. Frequently the appreciation of a particular work was based not on the work in its entirety but on individual components of the work which were deemed important to the development of 'modern' art. The interest of the Romantics was, therefore, an interest in thematic structure at the expense of plot and content.

Clearly these categories do not by any means exhaust the possibilities of defining a Romantic work; however, it is the contention here that any author whose work is concerned with these categories in a programmatic way should be considered to be a Romantic.⁴⁵

Anyone dealing with the works of E.T.A. Hoffmann will soon find himself confronted with the problem that he is by no means unanimously regarded as a Romantic. Inevitably, therefore, attempts have been made to deal with the problem of Hoffmann's Romanticism, some more successful than others.

Lothar Köhn tries to circumvent the problem of whether Hoffmann is a Romantic or not by regarding him as a writer on the dividing line of two literary epochs: Romanticism and Realism.⁴⁶ For Köhn, Hoffmann is an 'Übergangsdichter' whom it is necessary to consider as an individual case in his own right. The problem with such a theory is that it bases itself on a too convenient chronological demarcation between literary epochs.

Other interpreters, among them Günzel, Martini, Mollenauer and Ricci approach the problem by dividing Hoffmann's oeuvre into distinct periods.⁴⁷ The advantage of such a mode of procedure is immediately apparent: by compartmentalising Hoffmann's creative life of approximately thirteen years into a number of distinct periods, it is possible for him to be all things to all men. What these works have in common, therefore, is that they remain equivocal about whether Hoffmann should be regarded as a Romantic writer or not.

Mollenauer, although of the opinion that Hoffmann

deserves consideration as a Romantic theorist, feels that his understanding of the term Romantic underwent a series of far-reaching revisions during these thirteen years. In particular, Mollenauer sees a shift from the general to the particular. Consequently, Mollenauer rightly regards the first period of Hoffmann's Romanticism as extremely wide-ranging. Art forms regarded by Hoffmann as Romantic, we are told, range from symphonic music to the writings of Shakespeare, Calderon, Wieland and Herder.⁴⁸

The second stage is reached with his introduction, by Hitzig, to the works of the Jena Circle. This period, according to Mollenauer, lasted until approximately 1814, and it is during this period that Mollenauer considers Hoffmann to have been most influenced by German Romanticism.⁴⁹ Numerous references in Hoffmann's diaries and in his correspondence testify to a keen interest in, for example, the works of Novalis and Schelling during this period.⁵⁰ However, this enthusiasm was not to last, Mollenauer tells us. With the introduction of the twin themes of insanity and love Mollenauer perceives a trend in Hoffmann's oeuvre which manifests itself in a subordination of Romanticism to personal idiosyncrasy and autobiographical experience. In this phase, therefore, we are told, aspects of Romantic theory were used as an aesthetic device and were not evidence of a firmly held world view.⁵¹

Hoffmann is, in the final analysis, seen as a writer who was more influenced by composers and creative writers than by theorists. Mollenauer goes so far as to

suggest that Hoffmann's interest in Romantic aesthetics and psychological theory merely bore fruit in the way in which he developed 'a fad of the time into a fruitful and perhaps unique narrative device and at the same time took advantage artistically of the danger of its misuse.'⁵²

To dismiss Hoffmann's reading over a number of years in such a summary fashion appears not only ill-advised but dangerous. It is doubtful whether influence and belief can be separated as clearly as Mollenauer attempts to do, which is a great pity in an article which is not only instructive but correct in the majority of its premises. Hoffmann did indeed, as we shall see, move from a general to a particular conception of what constituted a Romantic work; however, the general cannot be divorced from the particular, it is the foundation on which the latter rests. It cannot be mere chance that those writers whom Hoffmann venerated were also the writers who influenced the development of the Romantic movement. When Hoffmann began to read works of Romantic theory, therefore, it was not necessary for him to change his world view in any way. As a result of an over-rigorous emphasis on periodisation Mollenauer appears to lose his sense of perspective. He fails to realise that creative thought and intellectual development are inextricably related .

Hoffmann's reading of the works of the Jena Circle helped him to develop further a generally held world view in the same way that his increasing interest in psycho-analysis and para-normal phenomena helped him to - in his opinion - new insights into Romantic theory. Thus, this

more theoretically based 'Weltanschauung' represented far more than a mere aesthetic device.

An alternative approach, still utilising periodisation as a starting point, is the attempt by Klaus Günzel to explain Hoffmann's development as a writer. Günzel proceeds from the assumption that by the time Hoffmann made contact with the Jena Circle, the movement had already undergone a fundamental change in its initial aspirations by allying itself with the anti-Napoleonic Right:

'Erst ab 1804 lernt Hoffmann - vornehmlich unter dem Einfluß Hitzigs - die Werke der Frühromantiker kennen, zu einer Zeit also, als die Romantik sich bereits in einer umfassenden Neugruppierung befand und sich schon bald unter dem Eindruck der preußischen Niederlage von 1806/7 zeitweilig mit den patriotischen und antinapoleonischen Kräften in Deutschland verband.' 53

This quotation highlights the fatal flaw in Günzel's argumentation; the confusion between the history of a movement and the influence of the same on an individual. By stating that the Jena Circle was already in decline when Hoffmann began to read their works Günzel is merely providing us with historical data on the Jena Circle; he is, however, telling us little or nothing about the influence of these works on Hoffmann the creative writer, an influence which is independent of the chronology of the movement itself.⁵⁴

Although Günzel considers any attempt to trace a linear progression from Romanticism to Realism in Hoffmann's work to be futile, he nevertheless perceives a development, albeit a development characterised by relapses:

'Gleichwohl muß zugestanden werden, daß dieser Weg vom "Ritter Gluck", den "Kreisleriana" und dem "Goldnen Topf" bis zum "Kater Murr", dem "Meister Floh" und "Des Vetters Eckfenster" nicht eindeutig, sondern widersprüchlich verlaufen ist. Die Entwicklung verläuft auch nicht so, daß sich hier ein Romantiker zum Realisten gewandelt hätte. Der komplizierte Prozeß, den Hoffmann innerhalb einer verhältnismäßig kurzen Zeit durchlief, macht aber sinnfällig, daß die romantischen Elemente am Anfang überwiegen, obwohl sich sogleich an ihrer Seite stark der Wirklichkeit verpflichtete Aspekte finden. Diese erhalten im Laufe der Zeit an Gewicht, so daß die romantischen Akzente an Relevanz einbüßen, ohne aber jemals ganz erschüttert zu werden.'⁵⁵

Despite some apparent equivocation by Günzel about Hoffmann's Romanticism he nevertheless agrees that Romanticism is a determining factor throughout Hoffmann's life, albeit a waning one. It is on this point that it is necessary to disagree with Günzel, a disagreement based on the fact that his criterion for relevance in a work is based on a causal connection between literary work and society.

Hans-Georg Werner has probably taken this line of argumentation to its logical conclusion when he sees a direct progression from the negation of reality in the early tales, to the social criticism of the later stories. This progression culminates in the Lebens-Ansichten des Katers Murr and Meister Floh which Werner sees as the exposition of the historical conflict between the emergent bourgeoisie and the aristocracy.⁵⁶

From this brief discussion of some of the works which see Hoffmann as an author on the dividing line between Romanticism and Realism it is evident that he is an author who, at first sight, is difficult to categorise. This is particularly true if the attempt is made to seek a greater understanding about Hoffmann's world view and

poetic technique by means of an analysis of the intellectual influences on him.

The relationship of E.T.A. Hoffmann to philosophy, the natural sciences and the emergent psychological theories of the day has been dealt with in considerable detail.⁵⁷ Currently, however, criticism appears to have moved away from a mere tracing of these influences to their actual exposition in Hoffmann's works and their influence on the development of his aesthetics. Nevertheless, even here the trend towards periodisation is evident and has led to excessive structuring. While works of criticism exist which attempt to interpret a particular story by tracing a particular influence at a particular time, however, few attempts have been made to analyse Hoffmann's oeuvre as an organic whole, with the reading of the later years supplementing and not superseding his interest in literary antecedents, Idealism and Romantic aesthetics.⁵⁸

Critics who do not treat Hoffmann's works as a unity include Bollnow, Dahmen, McGlathery and Tatar.⁵⁹ It is in Der goldne Topf that Bollnow considers Hoffmann as being in total accord with the world view of Novalis and early Romanticism. While aware of the differences between this 'Märchen aus der neuen Zeit' and its literary antecedents, particularly 'Klingsohrs Märchen' in Novalis' Heinrich von Ofterdingen, Bollnow considers the tale to be uniquely interpretable via the 'Dreiweltentheorie' in a way never to be repeated in Hoffmann's work.⁶⁰ By implication, therefore, Bollnow sees a shift away from Romanticism.⁶¹

Hans Dahmen similarly appears to preclude the possibility of a development in Romantic thought, while McGlathery and particularly Tatar attempt to interpret the later Fantasiestücke and the Nachtstücke by recourse to the psychological theories of the day. By disregarding the links between Idealism and an emergent psychological science, however, Tatar sees the writings of Reil as providing a virtual blueprint for the interpretation of Der goldne Topf.⁶² As a result of studying Reil, Tatar concludes that Anselmus evinces all the signs of clinical insanity. However, the reduction of the work of art to a case study must at best remain a crude Freudian technique which ultimately fails to explain the multi-faceted nature of the work of art.

The influence of Romantic aesthetic theory has in recent years become the subject of closer scrutiny, although in the case of its influence on Hoffmann, research is still largely confined to his later works. Kenneth Negus considers the 'Rahmengespräche' in Die Serapions-Brüder as the first sign of such an influence, an influence culminating in Prinzessin Brambilla.⁶³ It is in the work of Robert Mühlher, however, that the aesthetics of Friedrich Schlegel and the philosophy of Schelling are applied in a meaningful way to Hoffmann's works.⁶⁴ It is from Mühlher's seminal theory of the importance of the dialectical relationship between perception and thought, insight and representation, that in recent years we have seen the publication of two works, one by Roland Heine, the other by Siegfried Schumm, which although concerned with specific works, are of major importance in establishing a link between the philosophical background

to the period and its influence on Hoffmann's works.⁶⁵ Thus Heine writes:

'Schlegels Forderung einer transzendentalen Dichtung erscheint vielmehr in E.T.A. Hoffmanns Märchen "Der goldne Topf" auf besondere Art verwirklicht; denn in ihm ist in überraschender Weise die poetische Reflexion auf die Darstellungsbedingungen zum Gegenstand poetischer Darstellung geworden... denn die 'realistische' Reduktion des romantischen Anspruchs auf Poetisierung der Welt durch den skeptischen Erzähler Hoffmann verweist auf den von Schlegel betonten fiktionstheoretischen Aspekt der Transzendentalpoesie, unter dem sich die Grenze zwischen Romantik und Realismus genauer bestimmen läßt.' 66

Similarly in his discussion of Prinzessin Brambilla and Die Serapions-Brüder and with reference to Der Dichter und der Komponist, Schumm tells us:

'Unüberhörbar sind hier die Anklänge an Friedrich Schlegels Idee einer Vereinigung von Philosophie und Poesie. Wissenschaft und Kunst als die Grundwesen der Darstellung sollen vereint "das heilige Streben" entzünden, diejenige Einsicht erzeugen, in deren Licht die Menschen sich als Glieder einer Gemeinschaft erkennen.' 67

As early as 1804, Hoffmann made an important entry in his diary on poetic form after having read Voltaire's Candide:

'die Norm eines guten Romans - der philosophische durchgeführte Satz versteckt sich hinter dem Vorhange voll Carrikaturen - die Würze ist der Menschen Albernheit im lebhaften Colorit dargestellt'. 68

Thus at this early date Hoffmann appears to be thinking along the same lines as the Romantic aestheticians and theorists:

'Dieser Glaube an die hinter den äußeren Erscheinungen verborgene tiefere Bedeutung, der uns schon bei Hamann und Baader entgegentritt, wurde für die romantische Ästhetik in dem Augenblick fruchtbar, wo der Künstler als Interpret und die Kunst als Medium der Auslegung dieser Sprache oder Symbolik aufgefasst wurden....' 69

From 1814 onwards Hoffmann became increasingly interested in psychology and the para-normal. He avidly read Schubert's Ansichten von der Nachtseite der Naturwissenschaften and Die Symbolik des Traumes as well as a prodigious number of other works on the subject.⁷⁰ Implicit in Ricci's theory of Hoffmann passing through a number of changes in his world view is the assumption that this new interest marked a turning point for Hoffmann and is the beginning of his rejection of Romanticism. Such a view, however, is based on the mistaken idea that mesmerism and para-normal phenomena are to be taken as distinct from Romantic theory. However, as we shall see, these phenomena and the study of them in many respects constitute the logical development of the Romantic world view. Thus Albert Beguin points to the importance of some of Schubert's statements on the nature of poetry, comparing them with those of Valéry and sees a direct line of development from Romantic aesthetic theory to the Symbolist movement.⁷¹ Further it is an indisputable fact that, Neo-Platonic terminology aside, Schubert's theories are by and large in accord with those of the early Romantics, particularly so as regards the view that the symbolic act which produces dreams is fundamentally the same process, on a lower level as that which produces poetry. Schubert saw language, in terms of the language of dreams, as a short cut, a by-pass for the spoken word, following its laws of association, which differ radically from those of discursive thought. Thus meaning becomes apparent not in terms of referentiality to given objects but in terms of the relationship between

ideas.

Schubert regarded the symbolizing capacity of the human mind as being capable of manifesting itself in three forms: poetry, dreams, and prophecy. Where, we may ask, is the break with Romantic theory? Possibly it is felt that only a philosopher can develop an aesthetic theory, and as Schubert was not a philosopher, at least not in the sense that Novalis and Schlegel were, it is justifiable to explain Hoffmann's interest in his work as a mere interest in 'a fad of the time'.

K.C. Wolfart shows in exemplary fashion that the problems with which the Mesmerists concerned themselves were startlingly close to those discussed by the Romantics.⁷² When Wolfart talks of man's intellectual relationship to himself being analogous to looking into a mirror, in that for whoever looks into it, the observer, what he sees and the mirror are one at one and the same time, we are not far from the Fichtean concept of 'unmittelbare Einsicht' and the thought of Novalis:

'Der erste Schritt wird Blick nach Innen -
absondernde Beschauung unsres Selbsts - Wer
hier stehen bleibt geräth nur halb. Der 2te
Schritt muß wirksamer Blick nach außen -
selbstthätige, gehaltne Beobachtung der
Außenwelt seyn.' 73

While Hoffmann's use of the Mesmerist's theories in his works has received a satisfactory treatment in Sucher's well researched study, the extent to which these theories are a direct development of the Romantic world view continues to be underestimated.⁷⁴ Hoffmann's interest in their work was not so much in the clinical

minutiae but rather in the way in which much of their research dealt with the problem of perception and the location of the unconscious, considered to be the seat of the imagination and therefore of artistic creativity.

Uniting these findings with his understanding of Romantic aesthetics, Hoffmann's attention turns repeatedly to the problem of artistic representation. This interest in the problem of representation remains constant throughout Hoffmann's creative life and can be discerned from the very beginnings, when music was said to be the dominant determinant, through the period of the so-called 'Nachtseiten', to the late works when his aesthetic theory is applied more consciously.⁷⁵

When in Die Jesuiterkirche in G., Hoffmann allows his master figure to say:

'Auffassung der Natur in der tiefsten Bedeutung des höhern Sinns, der alle Wesen zum höheren Leben entzündet, das ist der heilige Zweck aller Kunst. Kann denn das bloße genaue Abschreiben der Natur jemals dahin führen? - Wie ärmlich, wie steif und gezwungen sieht die nachgemalte Handschrift in einer fremden Sprache aus, die der Abschreiber nicht verstand und daher den Sinn der Züge, die er mühsam abschnörkelte nicht zu deuten wußte.' 76

We can immediately detect that this could not have been written without the awareness of Romantic aesthetic theory and sympathy with its aims. The above quotation takes a standpoint which is anti-mimetic, it posits art as being concerned with the representation of the absolute and it simultaneously makes clear that this is only possible in terms of art's function of igniting the flame, the awareness of a higher reality in the experiencing subject.

If one were to summarise the structure and form

of Hoffmann's oeuvre one would arrive at the following conclusions:

- (1) The individual works progressively turn in upon themselves. The artistic work is regarded as taking place in an hermetically sealed sphere facilitating the breakdown of any stable relationship between the subject and its objects.
- (2) Compared to pre-Romantic literature there is an ongoing downgrading of the hero who becomes the absurd embodiment of an absence of identity.
- (3) There is an alternation between affirmation and negation which throws into sharp relief the process of self-origination and self-destruction demanded by Friedrich Schlegel.
- (4) The expressive act is systematically cancelled out by irony and allied techniques. The expressive act itself becomes the symbol of the poet's doubts about the efficacy of the expressive act.
- (5) The works evince a permanent concern with the transcendental, with the production and shaping of the work of art. In other words, Schlegel's concept of a continually becoming literature.

The work of art for Hoffmann is a concrete representation of the imaginative process. How else can the foreword to Die Elixiere des Teufels be understood when Hoffmann writes:

'war es mir auch, als könne das, was wir insgesamt Traum und Einbildung nennen, wohl die symbolische Erkenntnis des geheimen Fadens sein, der sich durch unser Leben zieht, es festknüpfend in allen seinen Bedingungen'. 77

The work of art is a 'concrete' representation of 'Traum und Einbildung' along the lines of Friedrich Schlegel's 'Dichten' being the equivalent of 'ewiges symbolisieren'. When Hoffmann wrote Die Elixiere des Teufels he had read Schubert's Die Symbolik des Traumes, in which Schubert makes the point that the symbolic act which produces dreams and flights of the imagination and poetic inspiration is fundamentally the same process as that which produces the work of art, which further underscores the fact that Hoffmann is treading firmly in the footsteps of the Romantics. What Hoffmann's reading in Mesmerism and psychology appears to have done is to provide him with a clearer conception of the unconscious. This conception equates the unconscious with the empirical concretisation of the imagination and the imaginative process. 'Traum und Einbildung', the creative imagination which produces the work of art, makes possible the perception of the 'geheimer Faden' running through our lives by helping to generate insight in the reader.

Insight is regarded as a particular way of perceiving the true nature of things and it is the function of the work of art to awaken insight by the symbolic representation of insight in conjunction with its negation. Symbolic expression brings into being the autonomy of the image, whose essence is determined as being and not as meaning. Thus, in Der Artushof, which Hoffmann wrote in 1815, Traugott tells us: 'Allegorische Gemälde machen nur Schwächlinge und Stümper; mein Bild soll nicht bedeuten sondern sein.'⁷⁸

Through the greater understanding of the problem

of artistic representation of insight, Hoffmann, towards the end of his creative life, began consciously to play with the poetic form of his works, a development which reaches its highpoint in the writing of Prinzessin Brambilla and Des Vetters Eckfenster. The latter work, frequently regarded as Hoffmann's most 'realistic' work, does not, in essence, as we shall see in the final chapter of this thesis, deviate from his basic Romantic 'Weltanschauung'. The problem dealt with is, once again, all too familiar: perception and the representation of the deeper meaning behind the multiplicity of the world of appearance. A blueprint of the creation of a Romantic work of art, it is a fitting epitaph to Hoffmann's oeuvre as a whole. The prerequisite for the Romantic artist is the possession of 'ein Auge, welches wirklich schaut.'⁷⁹ It is not enough merely to describe the external sphere, it is necessary to penetrate it, to show that the world of appearance can also have a general meaning that only becomes apparent as a result of the poetic transmutation of the real.

Hoffmann's world view evinces no major shift during his creative lifetime; rather his additional reading, both of the theoretical works of Romantic philosophy and of psychology as well as the works of selected creative writers, strengthened his basic faith in the Romantic world view. The backdrop changes, but this is 'Menschen Albernheit im lebhaften Colorit'; the philosophy, however, remains constant: the perception of the ideal and its representation. The change in Hoffmann's work is not a change in form, but rather a downgrading of the importance of the plot. Character and plot

are reworked time and time again in the different tales in the interest of the work's thematic structure, which becomes the vehicle by means of which the preconditions for insight are created.

The discussion of Hoffmann's works in the following chapters is largely chronological; however, in the case of the Fantasie- und Nachtstücke and Die Serapions-Brüder, the works are discussed in the order in which they appear in the cycles. Since a number of the tales contained therein were published individually before being included in the cycles referred to above, a minority of the works are not discussed in the chronological order of publication. The reasons for this are that firstly the organisation of the works in the cycles has not been assumed as being arbitrary.⁸⁰ Secondly, the discussion of the works in terms of their place in the cycle helps to underline the basically unchanging nature of Hoffmann's Romanticism by, in a number of instances, juxtaposing works written at different times. Thirdly, their discussion in terms of their place in the above cycles was chosen in preference to a purely chronological discussion because of Hoffmann's artistic procedure. A mere discussion of the works in terms of their date of publication would, in many instances, be rendered meaningless because Hoffmann frequently started to write a particular work only to stop before it had been completed in order to begin another, finally returning to the original work at some later date. However, in the interests of clarity, all the works discussed include details of the time of writing and publication.

CHAPTER II

THE NECESSARY STEP FROM PHILOSOPHY TO PSYCHOLOGY

In the previous chapter brief mention was made of Hoffmann's interest in philosophy and psychology. Further, it was shown that this increasing interest in psychology has been taken by a number of interpreters of Hoffmann's works as evidence for his declining interest in Romanticism.¹ It is the aim of this chapter to show that rather than representing a transient interest, Hoffmann's preoccupation with psychology was rooted in a lifelong interest, even morbid fascination, in the workings of the mind and in abnormal mental states. Further, to show that far from involving a rejection of Romanticism, it would be more correct to say that for Hoffmann, psychology in many respects represented the underpinning of the basic postulates of Romantic aesthetics and its necessary evolution.

While there are always dangers inherent in employing biographical detail as definitive evidence for a particular aspect of an author's oeuvre and while it can never offer a key to our understanding of the multi-faceted work of art, it can, nevertheless, shed additional light on the work and as such represents an interpretive aid.²

Karl Ochsner voices the opinion that all philosophical and psychological insight is the result of deep spiritual anguish.³ If this is the case, then it is clear that Hoffmann qualifies more than adequately on this count. Indications that Hoffmann did not share the certainty

of the early Idealist philosophers and Romantics is already evident, as Ochsner points out, in his earliest correspondence. In a letter written to Hippel on the 12th January 1795, Hoffmann already bemoans his existential plight; of being able to perceive a higher form of existence while being chained to the world of appearance:

'ich glaube daß der Zustand gänzlicher Gefühllosigkeit und Vernichtung unserer selbst nur immer imaginair ist, denn die Wirklichkeit möchte immer doch zu dem unglückseeligsten gehören, was unsern Geist treffen kann - Frey zu sein, so viel wie möglich, von den wirksamen Eindrücken unserer Ereignisse - bestimmt den Begriff des Philosophen, doch dahin zu kommen, zu dieser hohen Stufe gänzlicher Apathie, wäre für mich wenigstens nicht Glück. Es giebt so viele Kleinigkeiten, woran sich so gern unser Geist hängt, und in denen ein hoher moralischer Genuß versteckt liegt - für jeden sind diese Kleinigkeiten da, und auf jedem beruht es, durch eine gewisse Art sorgfältiger Ausbildung sich dafür empfänglich zu machen. - So lange wir uns nicht entkörpern, und unsere Sinne nicht scheiden können von unserm Geist, müssen wir die Schwärmerey nicht von uns verscheuchen - Sie ist uns das, was einem Gemählde das Colorit ist - Sie erhöht jede Idee, die unsern Geist beschäftigt'.⁴

The fact that from an early age Hoffmann realised that one could not escape from the 'real' world reinforces his feeling of entrapment and failure: 'Ist mein Käficht gleich golden, so ists doch ein Käficht, und keiner kann mir das Schnappen nach Freyheit verargen'.⁵ Hoffmann shows himself to be acutely aware of the duality of the real and the ideal but does not feel able to divorce himself from the world of appearance. He realises that to be creative the artist must utilise the objective world to symbolically represent insight into the higher world. Again, in a letter to Hippel, Hoffmann evinces all the signs of a man under some form of psychological pressure:

'Mein physisches Uebel kam auch wieder - Es besteht in Migraine, Unwohlheit und einem entsetzlichen Nasenbluten - vorige Nacht blutete ich anderthalb stunden - heute schon wieder, obgleich nicht so lange - vorgestern befürchtete ich einen Blutsturtz - Mir wurde so weh, und so halb ohnmächtig, ich weiß selbst nicht wie - Motion hilft mir - ich befinde mich besser darnach... ich habe einen KünstlerKörper, d.h. er wird bald gar nicht zu brauchen seyn, und ich werd mich empfehlen, ohne ihn mitzunehmen.'

Hoffmann then goes on to pinpoint what he regards as the root cause of the problem: 'Sieh nur, unser Uebel ist entgegengesetzt, Du hattest zu viel Fantasie, ich habe zu viel Wirklichkeit.'⁶

Time and time again Hoffmann returns to the problem of the real and the ideal which became the dominant theme of his work. Brought up during a time in which the German Romantic movement reached its peak, Hoffmann almost concurrently appeared to become preoccupied with the problem of how the imagination could bridge the barrier separating the twin spheres of phenomena and noumena:

'Wenn ich dann des Abends sitze, mein Werk vor mir, und wenn meine Fantasie tausend Ideen verfielfältiget, die sich in mein(em) Gehirn erzeugen - denn verliere ich mich so ganz in diese neu erschaffne Welt, und vergesse darüber alles bittre der Gegenwart - Ich arbeite jetzt an einem Werk was ganz mit meiner Laune, der ich immer ihren gewöhnlichen Gang lassen kann, übereinstimmt - ich nenne es "den Geheimnißvollen"! - Ein sehr ominöser Titel, nicht wahr?' ⁷

Despite his interest in the psyche, however, Hoffmann found it impossible to ignore the objects of the real world which formed the raw material of the work of art. Unlike Goethe, however, who saw poetic expression as being founded, to a large extent, on the observation of perceptible phenomena, ie. man in his world, these objects in themselves

held little interest for Hoffmann being described as the 'gänsedummen Bocksprünge des gemeinen maulaffenden Pöbels'.⁸

With the development of his awareness of the duality of existence, Hoffmann became more and more certain that the absolute, the expression of which was the dominant problem facing the Romantic artist, resided only within himself. Following his failed love affair with Dora Hatt, Hoffmann writes:

'ich studire allso jezt die Kunst in mir selbst alles zu suchen, und glaube auch mit der Zeit in mir zu finden was mir nützen kann - fern sey es aber von mir, daß mein Herz nicht gleich empfänglich für jede äußere Mittheilung, für jedes Gefühl bleiben sollte, denn nie muß der Kopf dem Herzen schaden, nie muß aber auch das Herz mit dem Kopfe davon laufen - das nenn ich Bildung!' 9

From the little we know of Hoffmann's childhood and adolescence it appears that life was never short of disappointment and heartache.¹⁰ Perhaps it was as a result of this that the world of the imagination became a substitute for a lack of human contact:

'Es ist, als umschwebte mich ein friedlicher tröstender Genius, wenn ich zuletzt halb be- rauscht von den ungebundenen, nie wiederkehr- enden Gängen meiner Fantasie, mich ganz in mich selbst verliere.' 11

Hoffmann already saw himself as later generations were to see Kaspar Hauser, a misunderstood artist. In an attempt to balance the drives inherent in the creative artist and the demands of society, Hoffmann increasingly presented the latter with a satyr's mask. It was this acquired persona, an actor's mask, which helped him to maintain a semblance of equilibrium. However, as one man may disappear in his social role, so another may be en-

gulfed by his inner visions. Fathomless transformations of personality and far-reaching changes of mind originate in what the Romantics and the science of psychology came to regard as collective images. It is the attempt to balance the two that frequently leads to a form of social schizophrenia. Increasingly, Hoffmann presented society with an acquired persona in an attempt to convince himself through the certainty of others that the problem within himself was resolved. Seen in this light Hoffmann's work can be seen as an attempted compromise between the drives inherent in the artist and the opposing demands of society.

Despite a natural desire for material and emotional happiness, Hoffmann came to realise that too much exposure to the world of appearance sapped man's creativity while the reverse side of the coin, dreaming away one's life in the world of dreams, was also essentially unproductive. Writing to Hippel once again, this time from the garrison town of Plock, Hoffmann shows his awareness of the dangers of a bourgeois existence despite its many apparent attractions:

'Jetzt weiß ich's, daß Du mein Freund im ganzen Sinne des Wortes bist, und dies ist volle Entschädigung für alle Erbärmlichkeiten der trivialen Lebensweise, welche mich schier zu Boden drückt, und der ich mit einem Aufwande von Kräften entgegen arbeiten muß, welcher, geht es noch länger so fort, nothwendig den ganzen Vorrath in Kurzem aufzehren muß. - Du kannst mir jetzt nicht helfen, das ist sehr schlimm - es gehört zu den Streichen des bösen Genius, der mich verfolgt, seit ich aus Berlin bin... Mein Sinn für die Kunst ist hier so hors de saison, daß ich überall damit anstoße und mich verwunde.' 12

Up to approximately 1803, Hoffmann's 'Romanticism' was, to the best of our knowledge, a result of the influence

of the prevailing 'Zeitgeist'. His interest in the writings of the Romantic thinkers, which supplied the impetus for the search for a means to overcome or at least control man's dualism, came only after his move to Bamberg in 1808.

We have little direct evidence of the extent to which Hoffmann immersed himself in the philosophical problems of the day before this time. We do know that he studied at Königsberg University while Kant was still teaching there and it is reasonable to assume that there was some influence, be it direct or indirect, on him.¹³ Further, it is possible to discern a philosophical predisposition from his admiration of the works of particular authors. Thus, among his favourite novels were Rousseau's Confessions and Voltaire's Candide.¹⁴

A detailed introduction to Romantic philosophy did not, however, occur until Hoffmann's arrival in Bamberg where, with the influence of a friend from his Berlin days, Franz von Holbein, he became 'Theaterarchitekt' at the theatre there. The period of growing interest in Romantic theory is documented in entries made by Hoffmann in his diaries and in his correspondence. On the 17th April 1812 he makes the following entry in his diary: 'im Novalis gelesen und sehr erbaut worden (Studium der Naturphilosophie - Schelling).'¹⁵ Again we have no direct knowledge that Hoffmann actually studied Fichte's writings; however, in a letter to Hippel dated 12th December 1807, he mentions the presence of Fichte and Schleiermacher in Berlin and thus attesting to at least an interest in him.¹⁶

Of the Schlegel brothers we know that Hoffmann read some of the works of August Wilhelm, but have no direct evidence that he read Friedrich Schlegel, however, as we shall see the way in which Hoffmann frequently appears to fulfil the demands of Schlegel's aesthetics it remains a reasonable assumption that he was at least aware of his theories.¹⁷ Thus it is true to say that Hoffmann was temperamentally attuned to the main tenets of Romanticism and that he became increasingly interested in the major existential and aesthetic problems of the period and with the possible solution to these problems by the emergent science of psychology.¹⁸

We have seen that Hoffmann's conception of the problem of world duality and artistic creativity puts him squarely in the mainstream of Idealist thought, and it is the problem of the retention and artistic portrayal of insight into the higher sphere that increasingly dominated his work, a point of view that is stressed by Egli:

'Mit der grundlegenden Erkenntnis einer kosmischen Dualität stellt sich Hoffmann selber hinein in die große philosophische Strömung, die wir heute mit dem Namen des deutschen Idealismus belegen, die in Kants Kritizismus ihren Anfang nahm, von Fichte weitergebildet, von Künstlern wie Schiller, Hardenberg und den beiden Schlegeln für die ästhetische Doktrin fruchtbar gemacht wurde und in Schellings späterem System ihre zusammenfassende und abschließende Gestaltung erfuhr.' 19

After Kant had broken down the preconception of a naive unity of objectively and subjectively perceived phenomena in the Critique of Pure Reason, he failed to offer an adequate replacement for the certainty of Rationalism. Following Kant, objects can only be rationally

perceived if the objects themselves are rational, which in turn presupposes that all reality is rational. Yet it is only too obvious that the phenomenal world is one completely alien to that of spirit, and that as a result the image man has of the world exists only in his mind as pure appearance, the concomitant of which is, that he is unable to make any valid statement about his relationship to reality and the multiplicity of phenomena which constitute it. As a result, any notion of a transcendental unity of nature and spirit is precluded. Body and spirit are antithetical. The world of the senses becomes the world of evil distracting man from the essentials.

The prevailing 'Zeitgeist' was fragmented with the one pole being occupied by the Goethean tradition of the grandeur and beauty of the external world, while the other was occupied by the exponents of a world in which the spirit had absolute freedom and which repudiated the ephemerality of nature. With this fragmentation the restoration of harmony became the dominant philosophical problem and led to the birth of Idealism.²⁰

As Egli points out, it was above all the artists, educated as they were under the massive and lasting influence of Goethe, who found the subordination of nature to spirit impossible to accept. Spiritually, the Romantic artist was too influenced by nature to adhere to a system which denied it any ontological validity. It follows from this that the gulf between Classicist and Romantic artists is one of degree rather than of a fundamental nature, more

a question of temperament than a radical change in 'Weltanschauung', with the balance now tipped in favour of spirit.

Although the problem of representation was dealt with by Fichte, this was on a purely philosophical basis and it required the combined efforts of Friedrich Schlegel and Schelling to make this problem fruitful for aesthetics and the artist. Schelling whom, as we have seen, Hoffmann read avidly, realised that the phenomenal world could never be adequately integrated into the rationality of the mind. Taking up where Fichte's thought had left off, he introduced a concept which was to have far-reaching consequences not only for philosophy but, more importantly, for psychology and art.²¹ Basing himself on the Fichtean concept of 'Einsicht' or 'intellektuelle Anschauung', he saw it as irrational intuitive knowledge which made it possible for the individual to comprehend the world (the totality of nature and spirit) as the revelation of the absolute. Thus, the rationality of spirit was confronted by an intuitive irrationality which, because of this very irrationality was to remain unexplainable, requiring only a belief in the concept of a fall from a state of godliness.²² This meant in turn, that the universe was the development of the Godhead out of and into itself, and that mankind's place in this development was that of a mediator in this divine process. Cosmic necessity became the root cause of Romantic dualism.

With the publication of his Ideen zu einer Philosophie der Natur in 1797, Schelling was still firmly in

the mainstream of Idealist thought. Like Fichte, he believed that nature had no objective existence other than as a mere product of the unconscious imagination. Differences, however, already existed. For Fichte, nature had only practical importance; it was a means to an end. In this respect Fichte remained an apostle of Kant, who had attempted to show that it was the regulative function of rationality to relate the organism (nature) to the concept of reason. In direct contradiction to this, Schelling's opinion was that the object of perception can only be reasonable and rational when the real and the rational constitute a simultaneous event; organised matter and organising spirit are identical. This in turn is only possible if and when nature and spirit are identical, in other words both the product of the ego. Thus, only in man is 'Anschauung und Begriff, Form und Gegenstand, Ideales und Reales ursprünglich eines und dasselbe'.²³

With the publication of Von der Weltseele in 1798, the Erster Entwurf eines Systems der Naturphilosophie in 1798-99, the Einleitung zum Entwurf in 1799 and the Allgemeine Deduktion des dynamischen Prozesses in 1800, Schelling's thought became more and more divorced from that of Fichte. Now, influenced by Spinoza and Herder, in whose thought the autonomy of the ego was subordinated to that of nature, nature became the totality of all things. And because consciousness was a recent development in the history of mankind, this unity of the organic and inorganic was by definition unconscious. The organising principle which produces nature out of itself, this absolute subject,

Schelling called the 'Weltseele'.

A major problem remained, however: if this natura naturans was unconscious, as Schelling maintained it was, how does this unconscious spirit manifest itself in man's conscious activity? According to Schelling, this was possible because the absolute subject in question was able to split itself into two parts with each individual component confining the other:

'Die Natur muß ursprünglich sich selbst Objekt werden; diese Verwandlung des reinen Subjekts in ein Selbst-Objekt ist ohne Entzweigung in der Natur selbst undenkbar.' 24

If, therefore, the unity of spirit and nature manifested itself in man's consciousness by means of insight - Fichtean or otherwise - then the wellspring of this insight must reside elsewhere. Schelling concluded that it could have only one home, the unconscious.²⁵

If the unconscious is the sum total of man's psychic life experienced as successive moments in time and space, then, as a result of the plethora of experiences flooding in on it, it is clear that only those aspects regarded as significant remain in it. Those aspects that make less impression on us are stored in a kind of psychic silo instantly retrievable should another external event trigger the correct key. Following the categories laid down by Ochsner, we shall call this shallow level of the unconscious the 'unnoticed'.²⁶ There is, however, another, deeper level of the unconscious which constitutes a part of the psyche to which consciousness has no immediate access. This faculty of the mind tends to appear spontaneously, often as a result of psychopathological conditions. For Freud, man's

unconscious consisted in the main of memories of early childhood and events which the individual could not or was not prepared to accept. In addition to Freud's conception of the unconscious, there is another definition, that by Jung. It is this definition that is rooted in the thinking of Romantic philosophy and psychology and is consequently of primary interest to us.

Jung introduced the concept of the collective unconscious, an unconscious which is not related to the experiences of the individual, but is rather a kind of genetic coding, the imprint of all that has been, the sum total of man's psychic life:

'it is a fact that, in addition to memories from a long-distant conscious past, completely new thoughts and creative ideas can also present themselves from the unconscious - thoughts and ideas that have never been conscious before. They grow up from the dark depths of the mind like a lotus and form a most important part of the subliminal psyche.' 27

With this definition we find ourselves once again in the intellectual world of Schelling and German Romanticism.

It has, until recently, been usual to regard Schelling's grappling with the conception of the unconscious during his so-called 'theosophical period' as a sign of his increasing disenchantment with philosophical Idealism. This is a view which can no longer be sustained.²⁸ Schelling's conception of the unconscious leads directly back to that most Romantic of concepts, the Golden Age which assumed that at some point in pre-history man had lived in a state of harmony and unity with nature.²⁹

From the initial all-embracing concept of the ego,

which had become an intellectual cul de sac, Schelling had now moved to an all-embracing concept of the unconscious which in itself contained the seed of the unity of all phenomena and noumena. However, this move did not involve a burning of bridges. The latter concept can only be comprehended in the context of the former.

For a time Romanticism appeared to have been moving in two separate directions, that of rigorous philosophical investigation, which instead of leading outwards increasingly turned in upon itself, and the direction taken by the early psychoanalysts, mesmerists and those philosophers who regarded the new conception of the unconscious as a direct development of the Fichtean concept of the ego.

As far as we know, the phenomenon of somnambulism was first observed in Strassburg by a doctor called Puyseguer, using techniques developed by Mesmer. Mesmer was of the opinion that all living organisms were surrounded by an electrical force or fluid and that the interruption of the flow of this fluid resulted in illness. To remove obstacles which he thought might be impeding this flow, Mesmer hypnotized - or magnetized - his patients in the hope that this would remove any psychic impediments. Magnetizing, according to Mesmer, involved the projection of plasma from the hypnotist's eyes into the body of the patient causing him to go into a trance with allied convulsions. On awakening, if we are to believe the various accounts, chronicles and diaries, the patient was frequently found to be healthy.³⁰

Although Mesmer's theories succumbed to the

rationalism of the French Revolution, his theories were later resurrected by the German Romantics.³¹ When Mesmer announced his discovery of animal magnetism in 1775 he ventured the opinion that nature and all its interrelationships rested on a magnetic polarity which in turn stemmed from God. As a result mesmerism became a manifestation of godliness.

K.C. Wolfart, whose work Erläuterungen zum Mesmerismus did much to popularise Mesmer's theories in Germany, makes the point that it is essential not to confuse his system with that of Materialism, but that Materialism and Idealism are united because 'Geist' is equated with 'Stoff' and vice versa and that the poles of 'Geist' and 'Bewegung' are now one.³² Wolfart then goes on to say that the world consists of 'Ordnungen' and 'Ursachen'; the physical and the moral order, with the former dependent on the latter.

Mesmer's system, as interpreted by his German followers, contains many of the main tenets of Romantic philosophy; the imagination as an untapped source somewhere in man's psyche, a notion of a Golden Age of man in the distant past and a concept of the unity of nature and spirit. Schelling, not ignorant of Mesmer's theories, took up the idea of a science based on a priori concepts, by means of which all concrete phenomena in nature would, as a matter of course, be explainable. Science was endowed with the metaphysical task of seeking to prove a cosmic unity. When in Von der Weltseele Schelling attempts to show that the heartbeat of the cosmic organism is maintained by an antithetical configuration or 'Urpolarität', he concludes

from this that nature is visible spirit and spirit invisible nature. With the establishment of an identity between spirit - ie. now in the human unconscious - and nature, a possibility of unifying the divergent strands of Romantic thought existed once again.

With the death of Johann Wilhelm Ritter, who in his short lifetime had become a central figure for the Romantic movement, the intensity of the quest for a unified science declined.³³ The grandiose dreams became more realistic. It would, however, not be justified to conclude that the quest for empirical evidence to support the Idealist world view ceased. In the past it was common for interpreters to equate Ritter's death and the fragmentation of the Jena Circle with the decline of Romanticism.³⁴ This is a view which can only be sustained by holding an extremely narrow conception of what constituted German Romanticism. Phenomena and ideas are inextricably interrelated. Many of Schelling's theories and those of Romantic science were derived from Mesmer's theories. Similarly, during the working out of his theosophy Schelling found himself returning to the writings of Böhme, Herder and Spinoza. Ideas rarely spring to life fully formed, they are the result of a long intellectual process.³⁵ Although a major impetus in the search for an all-embracing answer declined with end of the Jena Circle, a more limited search continued, a search which was to have important repercussions for aesthetics.

The first to popularise the concept of a link between man's unconscious and some residual knowledge of a Golden Age was G.H. Schubert whose books were read avidly by Hoffmann:

'Das herrliche Buch: Schuberts Ansichten pp habe ich erhalten und bin begierig auf alles was der geniale Mann geschrieb(en) und schreibt. Scharfsinnig mehr als poetisch ist die Erklärung der Ahnungen der Somnambulen'. 36

The search now continued by means of the investigation of the human mind. The unconscious suddenly offered the possibility of providing concrete evidence for the independent life of the soul. The psychiatrists now became the heirs of the Idealist philosophers.

Schubert provides none of the rigorous philosophy of the Idealists, and yet despite the musing and hypothesising, the books are in essence Schellingian in their world view. They support the idea that in a state of somnambulism the unity of man's lost past can be recreated in the mind and that in so doing the dictates of time and space are neutralised. When Schelling writes:

'Es ist undenkbar, daß der Mensch, wie er jetzt erscheint, durch sich selbst sich vom Instinkt zum Bewußtsein, von der Tierheit zu Vernünftigkeit erhoben habe. Es mußte also dem gegenwärtigen Menschengeschlecht ein anderes vorgegangen sein, welches die alte Sage unter dem Bilde der Götter und ersten Wohlthäter des menschlichen Geschlechts verewigt hat. Die Hypothese eines Urvolkes erklärt bloß etwa die Spuren einer hohen Kultur in der Vorwelt, von der wir die schon entstellten Reste nach der ersten Trennung der Völker finden, und etwa die Übereinstimmung in den Sagen der ältesten Völker, wenn man nichts auf die Einheit des allem eingebornen Erdgeistes rechnen will, aber sie erklärt keinen ersten Anfang, und schiebt wie jede empirische Hypothese, die Erklärung nur weiter zurück. Wie dem auch sey, so ist bekannt, daß das erste Überlieferungsmittel der höheren Ideen, Handlungen, Lebensweise, Gebräuche, Symbole gewesen sind...' 37

we can see only too clearly the extent to which Schubert remained a disciple of Schelling. By means of recourse to platonic ideas, Schelling in his "Bruno" concluded that all

finite phenomena are merely representations of archetypal images. The ancients had had access to their golden past by means of the Mysteries; modern man, however, had lost this immediacy. It is at this point that psychological theory begins to supplant speculative philosophy by finally offering the possibility of proving the hypothesis that the civilization of the Golden Age was not the result of evolution but an original state.

Schubert's works, as opposed to those of Schelling, deserve to be studied not because of their originality but as a result of the influence they exercised on nineteenth century creative writers. In addition, they mark the first attempt to popularise the newly established bridge between philosophy and psychology.

While Schubert was an admirer of Schelling - he had been a pupil of his for a short period - he was also a disciple of J.C. Reil, whose works in the field of psychology he greatly admired.³⁸ Reil became famous above all for his contribution to the improvement of conditions in asylums for the insane. It was his firm conviction that the inmates of these institutions should be integrated into society after treatment and not locked away like animals for the remainder of their lives.³⁹ In addition to his work as a social reformer, however, Reil was also a disciple of Idealism.⁴⁰ It was the influence of Idealist philosophy that led Reil to attempt to integrate some of the basic premises of Idealism into the study of abnormal mental states and vice versa.

Firmly in Mesmer's footsteps, Reil believed that all

organic phenomena could be classed under one of two categories: crude matter, which could be detected by the senses, and secondly a more refined, subtle fluid which penetrates and surrounds all matter. In addition, Reil also agreed with Mesmer that this fluid was important for the health of the organism. As a result of this belief Reil felt that psychology should be regarded as a major branch of medicine which offered a possible key to the cure of many ostensibly inexplicable ailments.

Slowly we can perceive the progression from Kant's splitting of the knowable and the unknowable and the attempt by Fichte to heal the gulf between 'Geist' and nature by placing all reality in the ego, to Schelling's attempts to reshape the concept of the ego in such a way that insight into the unknowable was seen as the coming into consciousness of symbols from the unconscious, and finally to the attempts of the psychologists to draw on this residual memory of an original state of harmony to heal mental disease which was seen as resulting from the inability of man to come to terms with his dual nature. In the middle of all this we find the artist who, grappling with the problem of the artistic representation of unconscious images, was greatly influenced by these developments.

Predisposed towards an interest in the workings of the mind, Hoffmann, during his stay at Bamberg, studied the works of both Idealist philosophers and the 'doctors'.⁴¹ Not only did Hoffmann gravitate towards the works of these early psychologists, reading a vast amount of literature on the subject, he became a close friend of a number of

them.⁴² In the light of this, it seems inconceivable that Hoffmann's interest in psychology can be explained as a mere artistic device, as Mollenauer attempts to do.⁴³ Hoffmann's interest in psychology is part and parcel of his Romantic world view and they cannot be separated. Similarly, as we shall see, the importance to Hoffmann's art stems from conviction and not from convenience.

One of the major problems for the creative artist and a problem with which Hoffmann grappled unceasingly was the representation of insight in the work of art. It concerned the genesis of the work in the imagination and its artistic concretisation. When Schubert speaks of 'halb-verständliche Töne' that man still possesses from the Golden Age, therefore, we cannot help but think of Hoffmann's conception of art which is concerned with the representation of these visions from the unconscious and the undermining of his readers' certainty about reality.

When Fichte talks of 'Einsicht', he means a return to first principles by a positing of the ego. This was at best a rather haphazard definition. For although Fichte tells us that insight can be achieved as a result of an act of individual freedom, he never actually tells us how the conditions for this act are established. Similarly, there is no mention of how this insight can be conveyed, a prerequisite if it was to have any relevance to art. Somnambulism and related phenomena suddenly appeared to offer a partial answer to these problems, for with the help of magnetism it appeared to be possible to draw on the unconscious reserve of knowledge at will. At last Novalis'



concept of the world being subject to centrifugal and centripetal forces took on a concrete meaning.

Transferring the problem from purely intellectual to physiological terms, the early psychologists saw man's original state of harmony and unity with nature as having been destroyed by the development of the intellect and its corollary consciousness. Thus eating from the tree of knowledge constituted the fall. If, therefore, intellect is a faculty distinct and divorced from mankind's original state it is clear that the unconscious cannot reside in it.

The scientists and 'doctors' therefore concluded that the unconscious must reside elsewhere in the human body and this home they termed the ganglionic system. This ganglionic system, which in modern terminology can be best explained as the central nervous system, controlled many functions necessary to man's well being, but, it was thought, also exercised a control which was entirely involuntary because of the predominance of consciousness. These involuntary drives, according to these early psychologists, not only determined many of man's behavioural patterns ranging from hunger to the drive for procreation, but were also thought to consist of faculties that man possessed but had lost the ability to use.⁴⁴

The development of thought from Fichte to Schelling, had placed art alongside philosophy as an equal; indeed, in many respects in the later thought of Schelling the two could no longer reasonably be separated. The development of psychology had subtly transmuted Idealist philosophy and at the same time had entwined art in this new hybrid

of philosophy and science. Again we have cause to refer to Novalis who had always assumed a spiritual kinship between the transcendental nature of Romantic art and the cosmic extra-sensual nature of the unconscious. In his writings even goes so far as to conclude 'Krankheiten gleichen der Sünde darin daß sie Transzendenzen sind'.⁴⁵ This equation of the transcendental and illness is the beginning of a line of development which leads directly to Hoffmann's works. The element of sin in transcendence is regarding the higher sphere as one's home, forgetting one's earthly confines, the external manifestation of which is frequently disease.

Schubert thought that the course of events in the world showed evidence of the workings of a benign and an evil 'demon'. Reil, using more scientific terminology, speaks of the dangers of 'Vertiefung' and 'Zerstreuung' which are opposed to the faculty of 'Besonnenheit'. Similarly, Hoffmann, after being rejected by Julia Marc, became only too aware of the peril of 'fixation'.⁴⁶ This danger of losing oneself in an idea was to remain a constant theme in Hoffmann's work while simultaneously underlining the fact that mesmerist phenomena were not to be seen as unequivocally good.⁴⁷

In "Mesmerism, Madness and Death in E.T.A. Hoffmann's 'Der goldne Topf'", Maria M. Tatar makes the point that in Ritter Gluck Hoffmann stresses the difference between dreams and information from the unconscious, and that the man who achieves insights into the latter will find an inherent danger in attempting to communicate them to others.⁴⁸ Society's judgement of oracles, somnambulists and artists

was frequently swift and to the point: they were deemed insane:

'Wo bey Völkern, an denen sich der Charakter der neuen Zeit schon zu entfalten angefangen, noch Etwas aus der alten Zeit übriggeblieben, erschien dieses mehr krankhaft.' 49

A difference still exists, however, in the fact that in Ritter Gluck, madness, if it exists, is still equated with divine inspiration. The type of character inimical to Hoffmann's works is a member of a group Jung calls 'a class of men for whom a definite idea has efficacy and reality, a reality which even rivals the world of perception.' 50 The artist concretises his flights of the imagination, dreams and deliria, thereby subordinating them to the dictates of time and space. But to do this successfully, like Beethoven, it is necessary to have 'Besonnenheit', a major factor which marks off the artist from the inmate of a mental home.

Peter von Matt is of the opinion that in the works of Hoffmann the total metaphysics of Novalis break down into psychology and mythology.⁵¹ In part this is true and yet it is difficult to agree with von Matt's use of vocabulary with 'breaking down' suggesting a break when in actual fact it is a shift of emphasis. Von Matt continues with the theory that Hoffmann's mythology is based on the symbol of the jewel, the 'Karfunkel'. But if, as von Matt states, the 'Karfunkel' represents the transcendental in man, the residual memory of man's original state of harmony, then this jewel is in fact another expression for the unconscious and as a result, the distinction between psychology and mythology appears to be synthetic rather than fundamental.

For Hoffmann, art does not represent the absolute: it is at best a medium with the help of which insight can be raised in man. Man carries within himself the ideal vision that he seeks vainly in the external circle. Thus, whether it is Atlantis, Dschinistan, or an ideal woman, they are all expressions of an inner ideal which owing to the dictates of time and space cannot be adequately expressed. This is a view voiced by Hoffmann himself in later life when, reflecting on his failed affair with Julia Marc, he writes:

'so sagen Sie in einem Augenblick des heitern Sonnenscheins Julien, daß ihr Andenken in mir lebt - darf man das nemlich nur Andenken nennen, wovon das Innere erfüllt ist, was im geheimnißvollen Regen des höheren Geistes uns die schönen Träume bringt von dem Entzücken, dem Glück, das keine Aarme von Fleisch und Bein zu erfassen, festzuhalten vermögen - Sagen Sie ihr, daß das Engelsbild aller Herzensgüte, aller Himmelsanmuth wahrhaft weiblichen Sinns, kindlicher Tugend, das mir aufstralte in jener Unglückszeit acherontischer Finsterniß, mich nicht verlassen kan beim letzten Hauch des Lebens, ja daß dann erst die entfesselte Psyche jenes Wesen das ihre Sehnsucht war, ihre Hoffnung und ihr Trost, recht erschauen wird, im wahrhaftigen Seyn!' 52

In Chapter I, issue was taken with the attempt to subdivide Hoffmann's work into periods. It was suggested that Hoffmann, if one does not take a narrow, sterile view of Romanticism, remained a Romantic throughout his life. He experienced acutely the 'Weltschmerz' which had spurred on philosophers, scientists and artists to seek a satisfactory explanation for man's existence and place in the universe. We have further seen how Hoffmann's wide-ranging Romanticism was given a new impetus by his arrival in Bamberg where he began to read the works of the Idealists in Kunz's library. Further, we have seen how an embryonic

interest in the workings of the mind was furthered as a result of his friendship with Dr. Marcus and how this sparked off the study of psychological works.

The view that Hoffmann's increasing interest in mesmerism should be regarded as an indication of his declining interest in Romanticism stems from a fundamental misunderstanding of the complexity and multiplicity of the Romantic movement. Romanticism did not disappear after the decline of the so-called 'Blütezeit'. It is the widely held view that the disintegration of the Jena Circle and the ensuing deviation from some of Novalis' premises constitutes a decline in the Romantic movement that has led to this view. But, it is as well to remember that Novalis was a Romantic, he was not Romanticism. In no small part due to the work of Fichte, Romantic philosophy found itself in an intellectual impasse, a fact of which Novalis was only too well aware. But it was the Romantics who rediscovered the works of Mesmer and it was through his theories and their development and in conjunction with Idealist philosophy that a possible escape from the cul de sac of 'Einsicht' and 'Darstellung' presented itself.

Hoffmann, as a Romantic, found the idea that history did not develop linearly congenial. It offered the means of proving that man was not irrevocably chained to the world of appearance and that by means of flights of the imagination contact could be established with a former higher state of being. It is, of course, pointless to speculate whether Novalis would also have ventured into the field of psychology; however, on the basis of many of his fragments, which

attest to a fervent interest in the emergent subject, it would not be unreasonable to assume that this might have been the case.

Students of history know that the French Revolution did not begin in 1789 and end with the Directorate. Similarly German Romanticism did not begin with Fichte and end with the decline of the Jena Circle. Romanticism did not, to perpetuate the Romantic cliché, suffer from a consumptive disease. Had there been no development after the 'Blütezeit' this would in itself constitute an indictment of the movement. But Idealism did develop, as it had to, and it developed using psychological models, and it is instructive to consider whether the thought of Schopenhauer, Nietzsche and Jung would have been possible without this development. Of even more importance for the purposes of this thesis is the way in which Hoffmann assimilated all this and adapted it to aesthetics, and as a result made an important contribution to the development of narrative fiction.

CHAPTER III

UNITY IN DIVERSITY: E.T.A. HOFFMANN'S 'FANTASIE- UND NACHTSTÜCKE'

From the discussion of a number of interpretations of Hoffmann's work in Chapter I, it is clear that many literary critics consider it possible, indeed methodologically advantageous, to split Hoffmann's oeuvre into a number of phases with each phase exemplifying a change in the author's world view. This is a standpoint with which this thesis is at odds. In Bamberg, Hoffmann began to gain a clearer conception of what, in his opinion, constituted a 'Romantic' work. As a result of his increased knowledge of Romantic writers, philosophy and psychology, Hoffmann's wide-ranging Romanticism became more clearly defined.

It is not possible to talk of a change in Hoffmann's 'Weltanschauung' because this remained firmly Romantic, however there is a discernible development of this Romantic world view. This development manifests itself in the degree of certainty with which Hoffmann deals with his material. From the positing of man's existential dilemma in the early works, the later works constitute a mature discussion of this problem, in which the central characters increasingly become mere vehicles for expounding the central message of the works, which is to be found in the reworking of the thematic structure. The aim of this chapter will be to show that despite their apparent diversity the Fantasiestücke in Callots Manier and the Nachtstücke fit into this framework, in that they both, fundamentally deal with the same problem, the problem of the artistic

imagination and the apparent inability of the individual adequately to subordinate its power to the dictates of time and space.

Hoffmann's first substantial published work, Ritter Gluck, appeared in 1809 and already contained many of the elements which subsequently came to be termed 'Hoffmannesque'.¹ Amongst others these included the problem of poetic inspiration, adequate representation, the antithesis of artist and bourgeois, built-in stylistic ambiguity and the problem of differentiating between appearance and reality. Indeed, Christa Karoli goes so far as to declare that Ritter Gluck does not merely contain many of the elements important in Hoffmann's work, but embodies all the important elements.² It is possible to be sympathetic towards such a viewpoint, but it is too attractive to be totally convincing. As suggested, many of the themes are constant, but the shift in poetic technique where and when it occurs is not one of theme but of structure, in which there is a downgrading of the individuality of the characters in the interests of the explication of the poetic message. Karoli's conclusion, therefore, that Hoffmann's increased understanding of Romantic philosophy, aesthetics and psychology had no influence on his works cannot be agreed with.

Hans Dahmen is of the opinion that Hoffmann saw in the works of Schubert a possible key to the world riddle in poetic language.³ Without being as positive about the merit of Schubert's works as Dahmen appears to be, it cannot be denied that his point is a valid one. As Hoffmann had not been exposed to, amongst a number of others, the

works of Schubert at the time that Ritter Gluck was written, he could not have been aware of a link with the Golden Age via the medium of art and therein lies a possible explanation for Gluck's inability to express the inner harmonies.⁴

By 1809 the first flush of Romantic optimism had become more realistic. While the early Romantics, in the aftermath of Fichtean philosophy, still regarded the self as the wellspring of creation, by the time Hoffmann wrote Ritter Gluck this unity of spirit and the world of reality had become more problematical. Friedrich Schlegel's opinion that: 'Die Philosophie soll eine Reformation konstruieren', could no longer be accepted as a necessary truth. Reality, as Hoffmann knew only too well, did not only reside in the ego; there was another reality, a more mundane sordid reality in which he had to make a living and it did not disappear because he wished it to. For Hoffmann the problem was not merely one of transforming reality by an act of freedom on the part of the individual; it was a case of attempting to break out of the mundane everyday with the aid of insight and then to attempt to portray this insight adequately in the work of art.

While the early Romantics had believed that the absolute was a result of the creative ability of spirit, the absolute or ideal to which Hoffmann refers in Ritter Gluck is more complicated. It has, in a number of respects, lost its immediacy. Somehow it is now separated from man's present by space and time.

In Ritter Gluck, Hoffmann makes his first artist hero the embodiment of dualism. Gluck is the artist who

while remaining irrevocably chained to the world of reality can perceive a higher form of existence. Wulf Segebrecht is of the opinion that the duality of being finds its representation in the, to the world of appearance, apparently impenetrable heterogeneity of existence, for it is in the multiplicity of the phenomenal world that the fantastic, which functions as the lever which permits access to the ideal, is found.⁶ The fact that the fantastic dissolves the barrier that separates the real and the ideal means that the individual can raise himself to a level which is above that of the finite world but which, nevertheless, remains below that of the infinite. It is in this intermediate sphere that the artist can be creative.

It is precisely because Hoffmann is the apostle of the 'Schwebezustand' that it is all but useless to speculate whether Gluck is insane or not. The reader is cast adrift on the first page of the story when what he regards as reality is posited as the dream world. This world dream is a state in which man passes his allotted time on earth fixated by the heterogeneity of objects but never perceiving their true nature. Hence the Enthusiast introduces the story with a detailed description of these objects:

'Dann sieht man eine lange Reihe, buntgemischt - Elegants, Bürger mit der Hausfrau und den lieben Kleinen in Sonntagskleidern, Geistliche, Jüdinnen, Referendare, Freudenmädchen, Professoren, Putzmacherinnen, Tänzer, Offiziere u.s.w.'. 7

Unknown to the Enthusiast, Gluck is sitting at his table imagining that he is conducting the pathetic orchestra. While the discordant music shakes the Enthusiast out of his reverie, however, Gluck applauds announcing:

'Ich bin mit der Aufführung zufrieden! das Orchester hielt sich brav!' ⁸ And yet how can this be? How can this pathetic orchestra satisfy the man, who, as we learn later, has the ability to gain insight into the nature of the absolute? The Enthusiast remains unconvinced, however, replying, 'Und doch... doch wurden nur schwache Umrisse eines mit lebendigen Farben ausgeführten Meisterwerks gegeben.' ⁹ and thus confronting the reader with a central artistic problem, the expression of insight via the medium of art. For Gluck the problem no longer exists, however, the work is completely internalised and as a result is perfect internally however imperfectly it is performed externally. The Enthusiast does not yet comprehend that the works of the real Gluck can awaken insight despite the inadequacy of the performance, which in turn highlights Ritter Gluck's failure in the story; his inability to transfer his own internal compositions to paper.

Gluck, himself aware of his own artistic inadequacy answers the Enthusiast's question about his own compositions with the words:

'Ja; ich habe mich in der Kunst versucht: nur fand ich alles, was ich, wie mich dünkte, in Augenblicken der Begeisterung geschrieben hatte, nachher matt und langweilig; da ließ ich's denn bleiben.' ¹⁰

Continuing his discourse, Gluck then deals with the impossibility of even attempting to describe the artistic process:

'Ha, wie ist es möglich, die tausenderlei Arten, wie man zum Komponieren kommt, auch nur anzudeuten! - Es ist eine breite Heerstraße, da tummeln sich alle herum, und jauchzen und schreien: 'Wir sind Geweihte! wir sind am Ziel!' - Durchs elfenbeinerne Tor kommt man ins Reich der Träume: wenige sehen das Tor einmal, noch weniger gehen durch!' ¹¹

Gluck's problem, however, is a different one. Many of those who pass through the ivory gate stay there too long and fail as artists: 'viele verträumen den Traum im Reiche der Träume'. It is necessary to stride boldly through this realm; only then has one the possibility of perceiving the true nature of things and returning to tell the tale.

The problem of adequate externalisation of inner visions is, of course, not only a Romantic one; it is a problem that has always plagued the artist and has been formalised by Jung as the promethean - epimethean problem.¹² The Romantics, however, dealt with the problem anew in that it became the axis of the work of art. The Gluck of the tale realises that for him, the transference of his internal visions and inner harmonies to the external sphere is an impossibility. Thus, his music sheets remain blank. His compositions cannot make the leap from mind to paper and as a result remain incomplete. He thus lacks what Hoffmann considered the true artist must have, the faculty he discovered first and foremost in Beethoven: 'Besonnenheit'.¹³ For this reason he never really exists, he lives only in the world of dreams, the world of the imagination, condemned in perpetuity to wander the streets at night, to stand outside opera houses, to listen to the works of the historical Gluck who had succeeded where he himself had failed.

Ingrid Merkel makes a valid point when she writes that where Hoffmann differs most from Novalis is in the fact that he attempts not only to expose the mind of man as the wellspring of the absolute, but that he also discusses what has now become the cardinal artistic problem, the

'Entsprechung der inneren Vision im Bereich der äußeren Welt.'¹⁴ Both Gisela Maucher and Elizabeth Sturrock regard this as a central problem in Hoffmann's work.¹⁵ In addition Sturrock considers that the artist functions as a mediator between the real and the ideal ('Mensch und Himmel').¹⁶ Thus it is possible to venture the opinion that the artist is a form of hybrid of visible nature and invisible spirit and that the central theme of Hoffmann's work is not art but the artist.

In Kreisleriana Nro. 1-6 which immediately follow Ritter Gluck in the Fantasiestücke in Callots Manier, Hoffmann places Gluck's artistic failure into perspective as a result of the inevitable comparison with Beethoven.¹⁷ Thus in Beethovens Instrumental-Musik which was first published in the Allgemeine Musikalische Zeitung in 1810, Hoffmann tells us that for him Beethoven represents the quintessential artist:

'In Wahrheit, der Meister, an Besonnenheit Haydn und Mozart ganz an die Seite zu stellen, trennt sein Ich von dem innern Reich der Töne und gebietet darüber als unumschränkter Herr. Ästhetische Meßkünstler haben oft im Shakespeare über gänzlichen Mangel innerer Einheit und inneren Zusammenhanges geklagt, indem dem tieferen Blick ein schöner Baum, Blätter, Blüten und Früchte aus einem Keim ~~tribend~~ erwächst; so entfaltet sich auch nur durch ein sehr tiefes Eingehen in Beethovens Instrumental-Musik die hohe Besonnenheit, welche vom wahren Genie unzertrennlich ist und von dem Studium der Kunst genährt wird'.¹⁸

Similarly, while discussing the qualities that mark out the great artist, Hoffmann, now dealing with Mozart in Höchst zerstreute Gedanken first published in January 1814, writes

'Glaubt ihr denn nicht, daß der Meister den Don Juan, sein tiefstes Werk, das er für seine Freunde, d.h. für solche, die ihn in seinem Innersten verstanden,

komponierte, längst im Gemüte trug, daß er im Geist das Ganze mit allen seinen herrlichen charaktervollen Zügen ordnete und ründete, so daß es wie in einem fehlerfreien Gusse dastand?' 19

The artist must return through the ivory gates, come back from the realm of dreams where the work of art constitutes itself, reflect upon the experience, order it, subordinate it to the dictates of the phenomenal world and only then put pen to paper. Only then can art fulfil its purpose, to put mankind in touch with a higher mode of existence by awakening creative insight in him also. In Der vollkommene Maschinist, not previously published and written especially for the Fantasiestücke in Callots Manier, we are told:

'Haben Sie es nicht vielleicht schon selbst bemerkt, so will ich es Ihnen hiermit eröffnen, daß die Dichter und Musiker sich in einem höchst gefährlichen Bunde gegen das Publikum befinden. Sie haben es nämlich auf nichts Geringeres abgesehen, als den Zuschauer aus der wirklichen Welt, wo es ihm doch recht gemütlich ist, herauszutreiben, und wenn sie ihn von allem ihm sonst Bekannten und Befreundeten gänzlich getrennt, ihn mit allen nur möglichen Empfindungen und Leidenschaften, die der Gesundheit höchst nachteilig, zu quälen.' 20

What Hoffmann is saying ironically is that art should not be mere mimesis, the representation of the phenomenal world, but should instead awaken the part of man's psyche which is normally dormant. Walter Müller-Seidel sums this up succinctly when, with reference to Ritter Gluck, he tells us:

'Es ist, gegenüber dem bloß Sichtbaren, ein höheres Sein, das da erkannt werden soll und in der Tat erkannt wird; und es ist im Erkennen einer bestimmten Musik zugleich ein Erkennen des Menschen.' 21

Don Juan, which immediately follows the Kreisleriana was, in actual fact, first published in the Allgemeine Musikalische Zeitung in 1813 although it was already completed on the 24. 9. 1812.²² As in Ritter Gluck there is no attempt

on the part of the author to effect any conciliation between the two spheres.²³ The difference between the two tales, however, is that in Don Juan, the Enthusiast no longer experiences the antithetical nature of the real and ideal indirectly through a third party; rather he himself is now the one who experiences insight.

In the first two lines of the story any attempt by the reader to distinguish between appearance and reality is made problematical as a result of the breakdown of any certainty as to what constitutes the real and the imagined:

'Ein durchdringendes Läuten, der gellende Ruf: "Das Theater fängt an!" weckte mich aus dem sanften Schlaf, in den ich versunken war.' 24

Taken at face value, this line could merely mean that the narrator is awakened from his slumbers by the announcement that the performance is about to begin; however, there is also a deeper level to these seemingly innocuous lines; he is woken from the world dream by a theatre performance which through the creation of a world in its own right can reveal the existence of a higher state of being in a way the multiplicity of the real can never do. The ironical allusion to Novalis' Heinrich von Ofterdingen when the Enthusiast enters the theatre directly from his room through the 'Tapetentür' tends to underline the fact that he is entering the world of the imagination. He is suddenly transported into a world in which universals and not particulars hold sway:

'Ich war so glücklich, mich allein in der Loge zu befinden, um ganz ungestört das so vollkommen dargestellte Meisterwerk mit allen Empfindungsfasern, wie mit Polypenarmen, zu umklammern,

und in mein selbst hineinzuziehen!'²⁵

Inge Stegmann is of the opinion that for the early Hoffmann, the dream still represents 'Nichtwirklichkeit'.²⁶ Given that at the time of the completion of Don Juan, Hoffmann had only just received Schubert's Ansichten von der Nachtseite der Naturwissenschaften and had not yet received Die Symbolik des Traumes, this view is probably correct in respect of this tale and those preceding it.²⁷ Although Hoffmann had no clear conception of dream symbolism at this time, however, this was to change with his reading of Schubert and his increasing immersion in the works of the mesmerists.

In Ritter Gluck poetic inspiration was rooted in the dream. In Don Juan the world of art becomes true reality, however fleetingly. When Donna Anna, the heroine of Don Giovanni, actually appears in the Enthusiast's box, she has become a projection of his own self and he has been transported into the world of the imagination:

'ihr Mund (so schien es mir) verzog sich zu einem leisen, ironischen Lächeln, in dem ich mich spiegelte und meine alberne Figur erblickte.' 28

Both she and the Enthusiast are now on the artistic stage of the imagination symbolised by the theatre and the stage of life in which like an actor one also acts out a role:

'So wie der glückliche Traum das Seltsamste verbindet, und dann ein frommer Glaube das Übersinnliche versteht, und es den sogenannten natürlichen Erscheinungen des Lebens zwanglos anreicht: so geriet ich auch in der Nähe des wunderbaren Weibes in eine Art Somnambulism, in dem ich die geheimen Beziehungen erkannte, die mich so innig mit ihr verbanden, daß sie selbst bei ihrer Erscheinung auf dem Theater nicht hatte von mir weichen können.' 29

Again, as in Ritter Gluck, the reality of the real is called into question but far more unequivocally. In Don Juan,

Hoffmann clearly infers that the equation reality equals the real no longer holds while a possibility of artistically transcending the real is raised. What is necessary is 'ein frommer Glaube an das Übersinnliche'. As a result it is possible to make the creations of the poetic world, this created reality, enter the real world in, to use a phrase Hoffmann availed himself of frequently, 'wechselseitiger Beziehung' between work and audience. Nevertheless, despite this possibility, the dangers for the artist enunciated in Ritter Gluck remain. The dangers that make Gluck an artistic failure are the same as those which destroy Don Giovanni in the operatic world and Donna Anna in the real world:

'Aber das ist die entsetzliche Folge des Sündenfalls, daß der Feind die Macht behielt, dem Menschen aufzulauern, und ihm selbst in dem Streben nach dem Höchsten, worin er seine göttliche Natur ausspricht, böse Fallstricke zu legen. Dieser Konflikt der göttlichen und der dämonischen Kräfte erzeugt den Begriff des irdischen, sowie der erfochtene Sieg den Begriff des überirdischen Lebens.' 30

The danger exists in the attempt to satiate earthly yearning for the possession of insight into the absolute by means of its projected manifestation in earthly guise. This must always be doomed because this ideal is within the artist and what he sees is merely his own projection, a mirage.

From the above it would appear that from very early on Hoffmann's main preoccupation is that of artistic representation, a process in which the dream is accorded central importance although at this stage this importance is not yet clearly defined. While a certain method of tapping the reservoir of inner visions cannot yet be discerned, however, one thing is certain: the poetic imagination is the home of

the fantastic and it can be both creative and destructive. The possibility of Gluck's insanity and Donna Anna's death are sufficient evidence for such a conclusion. Nevertheless, it is in the world of dreams that man can fly, a belief that remained constant throughout Hoffmann's creative life. Thus in the Lebens-Ansichten des Katers Murr, the first volume of which was published in 1820, Hoffmann allows Kreisler to say:

'und doch sind es lediglich die Träume, in denen uns recht die Schmetterlingsflügel wachsen, so daß wir dem engsten festesten Kerker zu entfliehen, uns bunt und glänzend in die hohen, in die höchsten Lüfte zu erheben vermögen. Jeder Mensch hat doch am Ende einen angeborenen Hang zum Fliegen'. 31

Yet it is necessary to remember that the wings of a butterfly are extremely fragile, and that its flight is of a very limited duration.

In Nachricht von den neuesten Schicksalen des Hundes Berganza Hoffmann continues to grapple with the problem of artistic creativity.³² What the tale provides us with is fuller and more developed explication of Hoffmann's conception of art which is increasingly opposed to mimesis.³³ However, while the tale continues to probe the nature of artistic insight it remains unclear how this insight is to be represented artistically.

In Ritter Gluck the Enthusiast is exposed to someone who has achieved insight and passed through the ivory gates into the world of the imagination but who is unable to represent what he has seen. In Don Juan, he experiences insight himself. In Nachricht von den neuesten Schicksalen des Hundes Berganza, he now encounters another figure on his

'Bildungsreise' to becoming an artist, a canine version of the 'Meisterfigur'. Insight is not sufficient for artistic greatness as we have seen; what is necessary also is 'Besonnenheit'. It is the task of the master to instil this in his pupil. Berganza's criticism of the Enthusiast is identical to that of Hoffmann's other master figures about their apprentices:

'Dein Blut fließt zu heiß durch die Adern, deine Fantasie zerbricht in Mutwillen oft magische Kreise und wirft dich unbereitet und ohne Waffe und Wehr in ein Reich, dessen feindliche Geister dich einmal vernichten können.' 34

Not only does Berganza's concept of art resemble that of Hoffmann's later master figures, it also closely resembles that of Lindhorst in Der goldne Topf, which Hoffmann began in late 1813 and completed in the spring of 1814. Thus when Berganza says,

'Das Vertrauen, das ich zu dir faßte, ist wert von dir vergolten zu werden, oder bist du auch einer von denen, die es für gar nicht wunderbar halten, daß die Kirschen blühen und nachher zu Früchten reifen, weil sie diese dann essen können, die aber alles für unwahr halten, wovon ihnen bis dato die leibliche Überzeugung abgeht?' 35

we can almost imagine Lindhorst talking to Heerbrand when he says,

'Ja, lacht nur recht herzlich... euch mag wohl das, was ich freilich nur in ganz dürftigen Zügen erzählt habe, unsinnig und toll vorkommen, aber es ist dessen unerachtet nichts weniger als ungegereimt oder auch nur allegorisch gemeint, sondern buchstäblich wahr'. 36

Written, as was Don Juan, at a time when Hoffmann began to read the works of Novalis and Schelling, we can discern a number of concepts which he appears to have assimilated

from 'Naturphilosophie' and which find their way into
Nachricht von den neuesten Schicksalen des Hundes Berganza.³⁷

When Berganza parodies the antithesis of mind and body he does so by using a concept new to Hoffmann's works, that of the Golden Age. Thus, Berganza describes his own fall from a state of harmony with nature to his present state of semi-rationality in terms of a metamorphosis from animal to human being. This metamorphosis is of course not complete and as a result Berganza suffers from the existential anguish common to modern man, the awareness of the irreconcilable opposition of the two states of being:

'Zuletzt bin ich ein Mensch und beherrsche die Natur, die Bäume deshalb wachsen läßt, daß man Tische und Stühle daraus machen kann, und Blumen blühen, daß man sie als Strauß in das Knopfloch stecken kann. Indem ich mich aber so zur höchsten Stufe hinaufschwinde, fühle ich, daß sich eine Stumpfheit und Dummheit meiner bemächtigt, die immer steigend und steigend mich zuletzt in eine Ohnmacht wirft.' 38

The main element of Der goldne Topf can, therefore, already be discerned here, the fall from the Golden Age:

'einer herrlichen alten Zeit unter dem südlichen Himmel, der seine Strahlen in die Brust der Kreatur wirft und den Jubelchor der Wesen entzündet, von niedern Eltern geboren, horchte ich dem Gesange der Menschen zu, die man Dichter nannte. Ihr Dichten war ein Trachten aus dem Innersten heraus, diejenigen Laute anzugeben, die die Natur als ihre eignen in jedem Wesen auf tausendfache Weise widertönen läßt. - Der Dichter Gesang war ihr Leben, und sie setzten ihr Leben daran als an das Höchste, das das Schicksal, die Natur ihnen vergönnt hatte zu verkünden'. 39

Following this we have Berganza's gradual drift away from this ideal state of harmony towards modern rationality and finally the world dream.

Berganza is the symbol of the modern artist who

suffers from the pain of existence, still has a residual memory of a higher form of being and yet is cursed to wander the earth having to try to convey these insights in works of art. For the first time the possibility is mooted that this higher form of existence, which monopolises the content of so many of Hoffmann's tales, is not a dream but rather a memory which occasionally breaks through into man's conscious dealings. It is the function of art to attempt to portray these insights symbolically and in so doing help the experiencing subject to achieve similar insights:

'Es gibt keinen höheren Zweck der Kunst, als, in dem Menschen diejenige Lust zu entzünden, welche sein ganzes Wesen vor aller irdischen Qual, von allem niederbeugenden Druck des Alltagslebens, wie von unsaubern Schlacken befreit, und ihn so erhebt, daß er, sein Haupt stolz und froh emporrichtend, das Göttliche schaut, ja mit ihm in Berührung kommt.' 40

And so we find Hoffmann's conception of insight almost complete, a conception which, once formed, was to remain with him throughout his creative life.

What of the work of art, however: how could it fulfil the demands made of it? Mimesis, as we have already seen, offers no answer:

'Aus dem getreuen Beobachten und Auffassen der individuellen Züge einzelner Personen, kann höchstens ein ergötzliches Porträt entstehen, das eigentlich nur dann zu interessieren vermag, wenn man das Original kennt, und durch den Vergleich damit in den Stand gesetzt wird, die praktische Fertigkeit des Malers zu beurteilen. Als Charakter auf der Bühne wird aber dem zu getreuen Porträt, oder der gar aus einzelnen Zügen mehrerer Porträts zusammengepinselten Personage, immer die innere poetische Wahrheit fehlen, die nur durch die Betrachtung des Menschen von jenem höheren Standpunkte aus, erzeugt wird.' 41

Anamnesis of the Golden Age has to be fostered.

Contained in man's unconscious it is not within the power of mimesis to activate it:

'Kurz, der Schauspieldichter muß nicht sowohl die Menschen, als den Menschen kennen. - Der Blick des wahren Dichters durchschaut die menschliche Natur in ihrer innersten Tiefe, und herrscht über ihre Erscheinungen, indem er ihre mannigfaltigste Strahlenbrechung in seinem Geiste wie in einem Prisma auffaßt und reflektiert.' 42

Art is the reflection of man's innermost self and through this reflection of himself in the mirror of art he is able to recognise his true self. Again this remains a central tenet of Hoffmann's aesthetics and we will have cause to return to it in more detail when dealing with Prinzessin Brambilla in Chapter VI.

One more element needs to be discussed before we can proceed to Der goldne Topf, the so-called demonic. It has been suggested that it is as a result of an interest in 'Naturphilosophie' that Hoffmann came to believe that the source of art was to be found in the imagination, which in turn fed on images produced by what today has become known as the collective unconscious. For Hoffmann the successful artist was the one capable of harnessing these images in the work of art which in turn would bring the experiencing subject in touch with his own unconscious by the creation of new insight. Hoffmann also realised, however, that by dredging up images from the unconscious it was also possible to bring to the surface things which were repressed in the interests of the wellbeing of the individual. It is here that we find the theme of Der Magnetiseur. Hoffmann worked on this tale in the spring and summer of 1813 and it appeared in the second volume of the Fantasiestücke, as a result, it

immediately precedes Der goldne Topf.

The essence of the story lies in the difference of opinion about mesmerism and 'Naturphilosophie' between father and son. The opening words of the story are 'Träume sind Schäume' used by the Baron, Ottmar's father. Here, however, they should not be understood in the benevolent way they are used by Heinrich von Ofterdingen's father, for unknown to the reader a more malevolent dimension to these innocuous words is to be found below the surface.⁴³ The Baron's position is soon made clear:

'Nach dem, was du da von der Verbindung mit der Geisterwelt, und was weiß ich, schwärmtest, sollte man glauben, der Traum müsse den Menschen in den glücklichsten Zustand versetzen; aber alle die Träume, welche ich deshalb merkwürdig nenne, weil der Zufall ihnen eine gewisse Einwirkung in mein Leben gab - Zufall nenne ich nämlich ein gewisses Zusammentreffen an und für sich selbst fremdartiger Begebenheiten, die nun sich zu einer Totalerscheinung verbinden - alle diese Träume, sage ich, waren unangenehm, ja qualvoll, daß ich oft darüber erkrankte, wiewohl ich mich alles Nachgrübelns darüber enthielt, da es damals noch nicht Mode war, auf alles, was die Natur weise uns fern gerückt hat, Jagd zu machen.' 44

Hoffmann's doubts about somnambulism are, however, in the final analysis voiced not by the Baron, but by the resident artist Bickert. Through his words we realise that despite Hoffmann's interest in animal magnetism as a possible solution to many of the philosophical problems of the day, he considered the world to be far too complex to allow any one phenomenon to offer a total explanation. It was from this perspective he felt that mesmerism was open to abuse. There would always be those like Alban who would mistakenly believe that they could subordinate nature to their own personal lust for power. Yet, like the sorcerer's apprentice, they do not fully comprehend the forces with which they are

dabbling, and there would always be those, like Ottmar, who would blindly follow them to their own destruction:

'Nicht Zeuge mancher dadurch herbeigeführter Erscheinung hätte ich sein dürfen, um daran zu glauben - ja ich fühle es nur zu sehr, wie alle die wunderbaren Beziehungen und Verknüpfungen des organischen Lebens der ganzen Natur in ihm liegen. All unser Wissen darüber ist und bleibt aber Stückwerk, und sollte der Mensch den völligen Besitz dieses tiefen Naturgeheimnisses erlangen, so käme es mir vor, als habe die Mutter unversehens ein schneidendes Werkzeug verloren, womit sie manches Herrliche zur Lust und Freude ihrer Kinder geformt; die Kinder fänden es, verwundeten sich aber selbst damit, im blinden Eifer, es der Mutter im Formen und Bilden nachmachen zu wollen.' 45

Alban's desire to exercise power over nature directly parallels the danger of the artist attempting to possess the poetic ideal. Similarly the end result for both is the same; failure, destruction, corruption of the original impulse:

'Alle Existenz ist Kampf und geht aus dem Kampfe hervor. In einem fortsteigenden Klimax wird dem Mächtigen der Sieg zuteil, und mit dem unterjochten Vasallen vermehrt er seine Kraft.' 46

Alban becomes so fixated by his attempt to subjugate the noumenal to the phenomenal that he regards the objects of the latter only as puppets to be manipulated for his own ends.

With the completion of Der Magnetiseur we find Hoffmann's Romantic world view fully developed. A number of his tales foregrounded particular aspects of this world view, however, it had yet to be portrayed fully formed, this was to happen with the writing of Der goldne Topf.

Hoffmann introduced his, as yet, largely unconscious theory of art in Ritter Gluck and in the Kreisleriana cycle and in Don Juan. In the period 1812 - 1814 Hoffmann began to read the works of the Idealists and this world view, which was largely the result of feeling, was given a more concrete

form, a form that finds its more positive aspects outlined in the Nachrichten von den neuesten Schicksalen des Hundes Berganza, and its negative side in Der Magnetiseur.⁴⁷ All that remained was to find an adequate form of representation, one which would foster insight in the reader, for this world view to become an aesthetic theory.

It is documented that in the year 1809 Hoffmann read A.W. Schlegel.⁴⁸ We have no evidence that Hoffmann ever read any of the works of Friedrich Schlegel, however, given his pre-eminence in Romantic aesthetics, it would be unusual in the extreme for a writer who was a Romantic to be unaware of his literary theories. Consequently, the influence of Friedrich Schlegel should not be underestimated in any appraisal of Hoffmann's conception of art. Whether consciously or unconsciously it determines, in conjunction with the world view Hoffmann had initially formed as a result of predisposition and his contact with the works of other Romantic thinkers, the structure and content of Der goldne Topf and subsequent works.

We have seen how Friedrich Schlegel believed that the work of art must instil insight in the reader.⁴⁹ We shall now see how Hoffmann, beginning with Der goldne Topf, fulfils this demand to an astonishing degree.⁵⁰ A.W. Schlegel, who did much to popularise his brother's more rigorously philosophical theories, makes the point in his Vienna Lectures that the viewpoint of the "Sturm und Drang" movement with its extravagant praise of genius as the motive force in the world, is far too simplistic. Although he regards art as the product of genius he sees it as both conscious and

unconscious, rational and imaginative. As a result, it is the interaction of the two that differentiates the Romantic conception of genius and art from that of the "Sturm und Drang".

The starting point is the imagination, the mental faculty which is in essence an autonomous self-created reality which, if used correctly, is one of the means at man's disposal to comprehend the nature of reality. The imagination, however, despite the fact that it is an autonomous reality in the unconscious, nevertheless, in its attempts to manifest itself in the conscious world has to use the objects of active perception for expression. Thus the important new aspect about Romantic art is not merely representing the world but representing it only after it has undergone a transformation in the mind of the artist. Here lies the essential difference between the harmony and order of ancient art and the chaos of Romantic art.⁵¹ Art is something different and finely distinguished from everyday reality because it stems from the unconscious and yet, as we have seen, is anchored in reality in terms of its expression. Art has the capacity to transport man back into the primordial world of the unconscious, but he should not be deceived into thinking that this is a sphere in which he can exist.

The genesis of the work of art occurs in three distinct stages: firstly in the imagination of the artist, secondly in its rendering into perceptible form and, finally, as a result of its concretization by an experiencing subject as a result of new insight. Poor art is that which is exclusively individually determined and reflects only mannerism. Romantic

art is consciously reflective. It is mankind's self-conscious use of language in a way which most adequately expresses his reflection of the world in its totality. Its medium is the symbol, metaphor, simile and personification:

'Poetic invention is the creation of a world whose objects are borrowed from the real world and put into a fictional world where they have a fictional but nevertheless convincing reality. Finally these objects are presented in such a way that they seem to have meanings.' 52

This is, however, an incomplete statement of the position, for the objects already have a reality in the artist's mind before they are represented, the art lies in not losing this reality as a result of the representation. It is the representation which necessitates the borrowing from the phenomenal world. Only if the art is Romantic are these borrowed objects turned back into their original impulses by the apprehension of the reader.

On artistic reception, Schlegel is of the opinion that 'Poesie' appeals to the imagination and not the understanding; poetry is philosophical but searching for the philosophy destroys the work. The work of art must not primarily impress us as a representation of reality or its true function is obscured. 'Experiencing a work of art requires more than the reader's attention, it requires critical reflection on his part. It is the function of art which is created as a result of an act of freedom to liberate the imagination once again so that man can become aware of himself and his place in the world, a process which almost a century later, Dilthey was to call 'perpetuierte Erkenntnis'. The unity of content and form can therefore only occur in

the reader.

Of all Hoffmann's tales, Der goldne Topf has consistently remained his most acclaimed work. Consequently, it has received an enormous amount of critical attention. Hoffmann himself regarded it as his most accomplished work and on numerous occasions bemoaned the fact that he felt himself to be incapable of reaching the heights of inspiration which helped to create the story.⁵³ The questions that must be asked are: what makes the story so special and does it in fact contain anything that is new?

We have already seen that there is a development in Hoffmann's work from Ritter Gluck to Nachricht von den neuesten Schicksalen des Hundes Berganza, which is a result of his clearer understanding of Romantic theory, while, at the same time, his theme of art and the artist remains constant. Kenneth Negus makes a point of which musicologists have long been aware, that one of the most advanced aspects of Hoffmann's theory of music is his analysis of thematic structure, and that this conception has a direct bearing on his literary works, which are also thematically related.⁵⁴ Similarly, Wulf Segebrecht shows how one Hoffmann story can complement another.⁵⁵ Wolfgang Nehring takes the argument one stage further when he suggests that Der goldne Topf can be regarded as a prototype around which all Hoffmann's other tales are based.⁵⁶ Nehring attempts to prove his hypothesis by pointing to the similarity in content and form of Der goldne Topf and Der Sandmann. Thus the respective fates of Anselmus and Nathanael are seen as contrary possibilities of

the same problem. While not wishing to underrate the stimulus Nehring's very incisive article has given Hoffmann research, nevertheless, grave doubts must remain about a number of his conclusions. When Nehring tells us, for example,

'Man sollte deshalb auch seine Mythen und Wunder nicht überschätzen als Zeugnisse einer großen geglaubten Naturphilosophie. Sie sind in erster Linie Vehikel, um die Transzendierung des Gewöhnlichen anschaulich darzustellen; sie sind die radikalste Möglichkeit eines Verfahrens, das für alle Werke des Dichters bezeichnend ist... Der Schlüssel für das Gesamtwerk liegt weniger in diesen ebenso tiefsinnigen wie oberflächlichen Phantasien als in den immer wiederkehrenden Grundstrukturen ', 57

we must take issue on two points, first, if the works are not evidence of a firmly held world view then how are they vehicles of transcendence, and secondly, as we shall see, the attempt to distinguish between content and form in Hoffmann's work is an impossibility as each determines the other.

Ritter Gluck, as we have seen, is primarily concerned with the workings and the power of the imagination. Allied to this is the problem of harnessing it artistically. We have also seen how his readings in 'Naturphilosophie' and psychology helped to locate the source of the imagination in what we today have termed the collective unconscious. Curiously, while Nehring finds himself concluding that Anselmus has Atlantis within himself, he nevertheless follows Martini in considering Hoffmann's mythology to be primarily an artistic device.⁵⁸

Nehring is not the only interpreter to have recognised that the ideal Hoffmann's fictional heroes strive for is contained in their own psyche. Thus, Knut Willenberg shows that the way in which Anselmus perceives Lindhorst's

garden depends not on the way things actually are, but on his psychic state at the time, a fact of which even Anselmus is aware:

'denn ich sehe und fühle nun wohl, daß alle die fremden Gestalten aus einer fernen wundervollen Welt, die ich sonst nur in ganz besondern merkwürdigen Träumen schaute, jetzt in mein waches reges Leben geschritten sind und ihr Spiel mit mir treiben.' 59

In Helmut Motekat's opinion it is necessary for Anselmus to understand that all the treasures of Atlantis are a part of his own self.⁶⁰ Only when this point of self-knowledge is attained can creativity flourish. Finally, Lothar Pikulik states explicitly that the visionary power which allows Anselmus insight into the realm of the imagination appears to reside in his subconscious.⁶¹

To return to the, as yet, unanswered question of what is new about Der goldne Topf in the context of Hoffmann's oeuvre to date, it is possible to say that it is new because for the first time the higher world is unequivocally posited in man's psyche, and it is important because the story acts as an axis in Hoffmann's oeuvre. While Nehring's theory that the tale acts as a kind of prototype for all the later stories cannot be concurred with, for the simple reason that such rigid one-directional movement is too simplistic, the symbol of the axis provides us with a better description. Like a revolving door which if approached correctly can provide access, Der goldne Topf can help us gain a greater understanding of Hoffmann's work as a whole, but if it is not approached correctly, we find ourselves spinning round in a circle.

Towards the end of his life Hoffmann extrapolated a few lines from a book known as Wiegles Magie, a few lines he appears to have considered as important.⁶² They offer us the possibility of a better understanding of the relationship between his stories by providing us with an insight into Hoffmann's thinking on thematic structure:

'Ein sehr schönes Bild ist von den sogenannten deformirten Gemälden herzunehmen.-Es sind z.B. auf einer Tapete verschiedene Theile, Züge eines Bildes verstreut, so daß man nichts deutliches wahrnimmt, aber ein besonders dazu geschliffnes Glas vereinigt die verstreuten Züge, und durch dasselbe schauend erblickt man das Bild.' 63

One is immediately reminded of Hoffmann's praise of Jacques Callot at the beginning of the Fantasiestücke:

'und so enthüllen Callots aus Tier und Mensch geschaffne groteske Gestalten dem ernstesten tiefer eindringenden Beschauer alle die geheimen Andeutungen, die unter dem Schleier der Skurillität verborgen liegen.' 64

While Wiegles's book is about conjuring tricks it is also possible to perceive a deeper dimension to the above quotation. The world can, at first sight, also appear to be like an anamorphic picture but there is a hidden unity. Only by really 'seeing' can we perceive that the apparent confusion is in fact part of a unified whole, and this is as applicable to Hoffmann's 'Weltanschauung' as it is to its microcosm, his works.

What is new about Der goldne Topf, therefore, is that it is Hoffmann's definitive exposition of a world view which determined the form and content of his oeuvre. Thus, in the later fairy tales at least, we find little, in terms of character, development, language, or the further

explication of Hoffmann's world view that cannot already be discerned in Der goldne Topf; where the changes do occur, as we shall see, is in the increasing predominance of form over content and character in his attempt to do justice to the Romantic art form.

Hoffmann came to the planning of Der goldne Topf with his mind made up on a number of problems previously discussed in his works; first, that insight and the manifestation of the absolute cannot be retained, second, that the artistic representation of insight could not be conveyed in the content of a given work, but that art's function was to awaken the public's receptivity to new insight which could only be achieved by means of the work's form. As a result the work of art, to follow Schlegel's demand of constantly becoming, had to contain the seeds of its own destruction. By merely substituting the world dream for another partial reality the experiencing subject would find himself trapped in the endless circle, infinite regress.

Following from this it is no coincidence that one of the most striking features of Der goldne Topf is the amount of relativisation of the tale's content. When, for the first time, the world of the fantastic makes its presence known to Anselmus, it is as a result of an act of self-reflection on his part. Upsetting the apple cart and Liese's curse cause him to think about the extent to which his whole life appears to be cursed and about the unfulfilment of everyday reality. As a result he takes the first step on the long journey to becoming an artist. He becomes aware of the

adamitic curse, the realisation that somewhere there is a higher form of existence. From such thoughts Anselmus, for the first time, hears 'ein sonderbares Rieseln und Rascheln... das sich dicht neben ihm im Grase erhob, bald aber in die Zweige und Blätter des Holunderbaums hinaufglitt'.⁶⁵

Anselmus has come into contact with the Schubertian echo; however, his immediate response is to explain this phenomenon away rationally: it is the wind. 'Besonnenheit' causes rationalisation and thus we enter the dialectic of reflection - insight - rationalisation - destruction - new insight. Every act of freedom or reflection by Anselmus on the origin of the strange sounds has the effect of increasing their intensity.

With the exposition of Anselmus' insight, we also have to bear in mind the primary target of the work, namely the reader. Having gripped the reader and ensnared him in the narrative, it is now necessary to break its hold over him. The ending of the first 'vigil', therefore, institutes a break. In the second 'vigil' the world of the fantastic is replaced by bourgeois reality and we hear its judgement on Anselmus' vision: 'Der Herr ist wohl nicht recht bei Troste!'⁶⁶ The narrative operates on two levels, telling the reader about Anselmus' insight while at the same time spinning a fictional web, entangling him in it and then when the reader's 'suspension of disbelief' is complete, destroying it suddenly and brutally in an attempt to promote reflection in him on the narrated events. The words of the citizen are not intended merely as a vilification of the shallow middle class, or as John Reddick suggests, to show

the illusory nature of the Romantic world picture.⁶⁷ Both explanations, although true, prove to be insufficient, as they do not account fully for the function of the citizen's words in the narrative. To Hoffmann the citizen was indeed dull and mundane, in Nietzschean terminology a member of the herd; however he also has a function in the structure of the work.

Time and time again fictional character and reader are duped. When Lindhorst attempts to convey the fact that he is in reality a salamander whose true home is in Atlantis, both he and the reader are confronted with Heerbrand's disbelief: 'Erlauben Sie, das ist orientalischer Schwulst, werter Herr Archivarius!'⁶⁸ Of course Heerbrand, as was the citizen, is partially correct; to others the story must of necessity remain fantastic and ultimately meaningless. Lindhorst's story cannot be experienced; its immediacy is lost in the act of representation. This is a fact of which Lindhorst is probably aware himself when he replies:

'euch mag wohl das, was ich freilich nur in ganz dürftigen Zügen erzählt habe, unsinnig und toll vorkommen, aber es ist dessen unerachtet nichts weniger als ungereimt oder auch nur allegorisch gemeint, sondern buchstäblich wahr'.⁶⁹

Those who still feel capable of laughter will, like Veronika at a later point in the story, realise that what is intuitively experienced can in actual fact be true and yet be fantastic. The initial presentation of insight in the mind of the subject is true, its truth is lost in the process of representation. Veronika, whose dreams had always been mundane, suddenly experiences the irruption of the fantastic into her conscious dealings:

'hinter der Kaffeekanne, die sie aus dem Schrank nahm, sprang jene Gestalt wie ein Alräunchen hervor und lachte höhnisch und schlug mit den kleinen Spinnenfingern Schnippchen'. 70

Attempts to explain this experience have the effect that the experience loses its truth value but the experience itself remains 'buchstäblich wahr'. It is not the prerogative of the chosen few to have such visions; everyone has them at one level or another and it is often this unique faculty of creating imaginary worlds for ourselves that makes existence bearable.⁷¹ However, only the chosen few can reflect on this and only they are tortured by the clash of the phenomenal world and the world of the imagination and by their attempts to represent the latter. In the opinion of Berthold in Die Jesuiterkirche in G., it is the fate of the Romantic artist to walk the narrow line between the two spheres:

'Aber Herr! - wenn man nach dem Höchsten strebt... das Höchste der göttlichen Natur, der Prometheusfunken im Menschen - Herr! - es ist eine Klippe - ein schmaler Strich, auf dem man steht - der Abgrund ist offen!' 72

The chosen experience the destruction of their insight so that new insight can occur. In this unending dialectical sequence it is possible to escape the allure of the world dream in which lesser mortals remain enmeshed. Hoffmann does not wish his readers to be seduced by the visions he creates, he wishes, as Robert Mühlher points out, to shake him out of his complacency which is a result of the world dream, as a result of the awakening of the 'versteckter Poet'.⁷³

Writing about Der goldne Topf to Kunz, Hoffmann says that one of the functions of the tale is:

'Die Idee so das ganz Fabulose, dem aber wie ich glaube, die tiefere Deutung gehöriges Gewicht giebt, in das gewöhnliche Leben keck eintreten zu lassen'. 74

But what is this deeper meaning hidden behind the multiple phenomena of the everyday world? In another letter to Kunz, written shortly before the letter mentioned above, we are given a possible clue:

'Ich glaube Ihnen eine Gemüthsergötzlichkeit zu bereiten, wenn ich Ihnen anliegend die Reinschrift der ersten vier Vigilien meines Märchens sende, das ich selbst für exotisch und in der Idee neu halte; die Idee, die ich beabsichtigt, spricht sich im Anfange der vierten Vigilie aus.' 75

And what are we told at the beginning of the fourth 'vigil'?

'Wohl darf ich geradezu dich selbst, günstiger Leser! fragen, ob du in deinem Leben nicht Stunden, ja Tage und Wochen hattest, in denen dir all dein gewöhnliches Tun und Treiben ein recht quälendes Mißbehagen erregte, und in denen dir alles, was dir sonst recht wichtig und wert in Sinn und Gedanken zu tragen vorkam, nun läppisch und nichtswürdig erschien? Du wußtest dann selbst nicht, was du tun und wohin du dich wenden solltest; ein dunkles Gefühl, es müsse irgendwo und zu irgend einer Zeit ein hoher, den Kreis alles irdischen Genusses überschreitender Wunsch erfüllt werden, den der Geist, wie ein strenggehaltenes furchtsames Kind, gar nicht auszusprechen wage, erhob deine Brust, und in dieser Sehnsucht nach dem unbekannten Etwas, das dich überall, wo du gingst und standest, wie ein duftiger Traum mit durchsichtigen, vor dem schärferen Blick zerfließenden Gestalten, umschwebte, verstummtest du für alles, was dich hier umgab.' 76

In the clearest possible terms, Hoffmann gives us an exposition of a concept which became known as the collective unconscious, a concept that he expands upon in Johannes Kreislers Lehrbrief, the first draft of which was completed in 1814 but which was not published until a year later:

'Du hast nämlich Dein Hörorgan so geschärft, daß Du bisweilen die Stimme des in Deinem Innern versteckten Poeten (um mit Schubert zu reden) vernimmst, und wirklich nicht glaubst, Du seist es nur, der

gesprochen, sonst niemand.' 77

How well this describes Anselmus and yet, in the final analysis, we must remember that the text is addressing us.

If the collective unconscious is what is being talked about here and it is to be found in every individual, then a question we irrevocably come to is: what are we to make of Anselmus' transfiguration at the end of the fairy tale? Naturally, interpreters have not been slow in voicing their opinions on this point. They range from the naive acceptance of Anselmus' transfiguration to the view that the ending should be understood as pure farce.⁷⁸ More recent criticism, notably from the United States, has accentuated the demonic and destructive aspects of the tale to the extent that Anselmus' suicide has been raised as a viable possibility.⁷⁹

In all of Hoffmann's tales beginning with Ritter Gluck, the dangers of attempting to exist in the higher sphere of the imagination have at least been mentioned. Perhaps it is possible to go even a stage further and suggest that any attempt to reside in this sphere is not only dangerous for the individual, but is also inimical to art, as this would make any representation impossible. Writing about Romantic aesthetics, Dieter Henrich says that Romantic art is:

'a. Einbildung des Unendlichen in das Endliche (= Invention oder Poesie), b. Einbildung des Endlichen in das Unendliche (= Form oder Schönheit), Kunst ist also Vollzug der Einigung von Endlichen und Unendlichen, eine Weise, in der die Indifferenz des Absoluten sich selbst realisiert.' 80

If, therefore, Der goldne Topf is a 'Künstlernovelle' and the story is Romantic, then it follows that either Anselmus is not transfigured in Atlantis or if he is then this is evidence for his failure as an artist.

Hoffmann considered that man was firmly anchored to the finite world and that it was as a result of the collision of the finite and the infinite that the absolute could manifest itself and art, through the medium of the artist, could constitute itself. By definition, therefore, any positive interpretation of Anselmus' transcendence is unthinkable, while the view that the ending should be seen as farce is precluded by the tale's undeniable philosophical depth.

While such individual problems of interpretation are of undoubted interest, they do not help us to arrive at a far-reaching understanding of the story's meaning. Reddick's opinion of Der goldne Topf is that it is a 'flickering projection of contrasting possibilities' and that the reader is presented with a 'radical perspectivism' that precludes the possibility of ever achieving a stable perspective.⁸¹ In reaching such a conclusion Reddick has, as was previously mentioned, fallen into the trap of attempting to interpret Der goldne Topf in isolation, for the perspective is supplied by the other tales. It is true that the opinions voiced in the earlier stories do change, but they do not do so fundamentally. The developing awareness of the Enthusiast in the unfolding of the Fantasiestücke in Callots Manier parallels the development of Hoffmann's Romantic world view, a development which manifests itself in a shift from the general

to the particular. In a sense we could almost say that in the context of the cycle we have the exposition of that most Romantic of themes, the 'Bildungsroman', although here education should be understood more in terms of psychic development, as is the case in the heroes of Joseph Conrad's novels for example. The words of the Enthusiast at the end of the tale under discussion (and it is necessary to bear in mind here that, according to Hoffmann in his letter to Kunz dated the 16.1.1814, the meaning of the story is explained by the Enthusiast at the beginning of the fourth 'vigil') make clear that Anselmus' transcendence is only a viable possibility within the framework of the fiction. The story is transcendental in the Schlegelian sense, in that transcendence is only possible aesthetically and not ontologically. As formulated by Roland Heine, the process of narration is more important than the work itself which is not so much concerned with life in 'Poesie' as with the problem of life in 'Poesie'.⁸²

It is, as a result, impossible for the Enthusiast to convey Anselmus' transcendence to the reader:

'Wie fühlte ich recht in der Tiefe des Gemüts die hohe Seligkeit des Studenten Anselmus, der mit der holden Serpentina innigst verbunden, nun nach dem geheimnisvollen wunderbaren Reiche gezogen war, das er für die Heimat erkannte, nach der sich seine von seltsamen Ahnungen erfüllte Brust schon so lange gesehnt. Aber vergebens blieb alles Streben, dir, günstiger Leser, all die Herrlichkeiten, von denen der Anselmus umgeben, auch nur einigermaßen in Worten anzudeuten. Mit Widerwillen gewährte ich die Mattigkeit jedes Ausdrucks.'⁸³

At this point the narrator totally relativises Anselmus' fate. Unable to complete the story himself because of the

impossibility of conveying his own insight adequately - this is, after all, something the reader must do for himself provided the work is a true work of art - one of the characters from the story, Lindhorst, transcends his own fictionality and writes the narrator a brief note offering him the use of the 'Palmbaumzimmer' to complete the tale. But of course the Enthusiast, unlike the fictional creation Anselmus, cannot remain there:

'Aber ich Armer! - bald - ja in wenigen Minuten bin ich selbst aus diesem schönen Saal, der noch lange kein Rittergut in Atlantis ist, versetzt in mein Dachstübchen, und die Armseligkeiten des bedürftigen Lebens befangen meinen Sinn und mein Blick ist von tausend Unheil wie von dickem Nebel umhüllt, daß ich wohl niemals die Lilie schauen werde'. 84

The only consolation for the true artist is the 'Meierhof als poetisches Besitztum... innern Sinns.'⁸⁵

Die Abenteurer der Silvesternacht, which immediately follows Der goldne Topf, was completed on the 13.1.1815 and sent off to Hoffmann's publisher on the 14.1.1815.⁸⁶ In this tale the mood is set by the 'Vorwort des Herausgeber'. Increasingly, therefore, we find the narrator not only intruding into the work, but playing with its form and with the reader, frequently going so far as to undermine the narrative and ironise the characters. This, as we shall see in the later chapters, arises from an increased certainty on Hoffmann's part of the aims of the fiction and the belief that the function of the work of art - to create insight in the reader - can best be achieved as a result of a process of 'play' with the narrative structure and fictionality. In Die Abenteurer der Silvesternacht, the Enthusiast, whose development we have followed from Ritter Gluck to Der goldne

Topf, is accused of having lost the ability to differentiate between the internal and the external or between the world of the imagination and the phenomenal world:

'Der reisende Enthusiast, aus dessen Tagebuche abermals ein Callotsches Fantasiestück mitgeteilt wird, trennt offenbar sein inneres Leben so wenig vom äußern, daß man beider Grenzen kaum zu unterscheiden vermag.' 87

Once again, therefore, the story is concerned with the juxtaposition of the psychic and the phenomenal; here, however, this is not done through the medium of the fictional character, but rather as a result of the presentation of the Enthusiast's world.

The theme of Die Abenteuer der Silvesternacht is the extent to which the individual, whose imagination is working at full flight, can still differentiate between the objects as they are and the world created by the imagination.⁸⁸ Meeting his old love Julia at a New Year's party brings about such deep reflection on the part of the Enthusiast that the imaginative process takes over and we become immersed in a psychic world in which it is increasingly difficult to distinguish between the real and the imagined.

If one takes such a view it is possible to see that, above all, the tale deals with the genesis of the work of art in the mind of the artist: the story of the lost mirror image. Thus Wulf Segebrecht is of the opinion that:

'Spikher ist des reisenden Enthusiasten Doppelgänger, so daß „unbezweifelt des Kleinen wundersame Geschichte“ in jedem Betracht die Geschichte des reisenden Enthusiasten ist. 89

But it is also necessary to consider how the happenings

leading up to the creation of the story help us to interpret it and whether we can discern Hoffmann's reasoning behind the story's extremely complicated structure.

The image of the mirror in German literature underwent a number of changes in meaning from the Middle Ages to Hoffmann's day. August Langen points to the fact that up to the eighteenth century the mirror in German literature was still largely determined by the mystical viewpoint.⁹⁰ According to this viewpoint the soul is the still and unclouded mirror which receives and reflects God's image in *unio mystica*. God and soul, Creator and created stand like two upright mirrors opposite one another. With the rise of '*Sich-Selbst-Bewußt-Werden*', the mirror image underwent a process of secularisation during the course of the eighteenth century. The fragmentation of the ego into a perceiving subject and a perceived object which grew out of this rise in self-consciousness began to transform the mirror from a symbol of tranquillity and transparency to one reflecting man's inner fragmentation and turmoil. Nineteenth century subjectivism thus transformed the shattering of the mirror into a symbol for the desire to destroy one's '*doppelgänger*'.

In "*Spiegelbild und Schatten. Zur Behandlung ähnlicher Motive bei Brentano, Hoffmann und Chamisso*", Ernst Fedor Hoffmann deals with Brentano's criticism of Hoffmann for not letting Spikher find his innocence in Christ at the end of the story.⁹¹ In so doing, he feels that Hoffmann does indeed include many symbols of the

christian world order, but that these always remain subsidiary to poetic technique.

As mentioned above, the Editor's foreword casts doubt upon the Enthusiast's ability to differentiate between the psychic and the phenomenal. Thus the meaning and supra-individual sense of the characters in Die Abenteuer der Silvesternacht can only be comprehended in terms of their position in the constellation of other characters, both in the frame and in "Die Geschichte vom verlornen Spiegelbilde" itself.

The Enthusiast, who, as we have already seen in Der goldne Topf, has come to the painful realisation that for the creative artist existence in Atlantis is an impossibility, becomes the vehicle for the exposition of the artist's dilemma. It is the creation of the Enthusiast's imagination, Erasmus Spikher, who represents the opposing possibilities of existence open to the artist: first existence in Italy with Giulietta which, at first sight, appears to offer the possibility of a paradisiacal existence but which on closer examination is like that other Garden of Eden, Atlantis, populated by snakes which tempt the unwary. The other is bourgeois existence with his wife which also is dangerous for the artist because it saps his creativity as he becomes enmeshed in the world dream.

The price Spikher has to pay for being able to live in this realm of the imagination is his mirror image. The mirror does not, however, represent the subjective terror of the individual, as Langen assumes, for it is the aim of the tale to show that for the artist the loss of

the mirror image cannot be tolerated. Whereas the medieval image of the mirror does find its representation in the story through the eyes of Erasmus Spikher's wife, who sees the loss of the mirror image as the loss of one's soul, to the Enthusiast, the loss of the mirror image denotes the loss of the awareness of human duality and hence the loss of the 'Schwebezustand' so necessary to artistic creativity.

Relinquishing the ability to perceive the duality of existence does not, of course, bring Spikher happiness, but instead, as in the case of Nathanael in Der Sandmann, threatens him with destruction. This threat is once again made manifest by the attempt to take possession of the ideal, in this case Giulietta:

'Ja, du - du bist mein Leben, du flammst in mir
mit verzehrender Glut. Laß mich untergehen -
untergehen, nur in dir, nur du will ich sein'. 92

The Enthusiast, similarly, is not spared this threat to his creativity. Finding himself in his hotel room he stares into the mirror only to perceive the outlines of Julia:

'Es war mir, als schwebte aus des Spiegels tiefstem
Hintergrunde eine dunkle Gestalt hervor; sowie ich
fester und fester Blick und Sinn darauf richtete,
entwickelten sich in seltsam magischem Schimmer
deutlicher die Züge eines holden Frauenbildes -
ich erkannte Julien. Von inbrünstiger Liebe und
Sehnsucht befangen, seufzte ich laut auf: „Julia!
Julia!“ ' 93

He is, however, saved, in an interesting inversion of the technique used in Der goldne Topf, not by the voice of bourgeois rationality, but by the sighs of Erasmus Spikher, his own poetic creation. The Enthusiast's education has now reached a point where the work of art not only helps him to complete the work of art as in Der goldne Topf, but also helps him to cope with the perception of life's

duality and prevents him from being seduced by either extreme.⁹⁴

Erasmus Spikher, because he is the Enthusiast's creation and medium, has to be sacrificed in the cause of art. He is condemned to wander in search of creativity. Spikher is an element of the work of art and as such cannot constitute insight, only engender it. He is forced to exist in the world of polar antithesis bouncing from one extreme to another.

Der Sandmann, which is the first story in volume one of the Nachtstücke, was completed towards the end of 1815 according to a letter by Hoffmann to Reimer dated the 24.11.1815:

'So wie mir Hitzig sagt, würden Ew. Wohlgebohren vielleicht geneigt seyn ein Bändchen Erzählungen unter dem allgemeinen Titel: Nachtstücke, herausgegeben von dem Verfasser der Fant(asia) St(ücke) in Call(ots) Man(ier) in Verlag zu nehmen, und unter dieser Voraussetzung bin ich so frey Ihnen die erste jener Erzählungen: der Sandmann, zu gütiger Durschsicht mit dem Bemerken zuzusenden, daß die zweite: der Revierjäger, auch bereits vollendet'.⁹⁵

Its chronological proximity to Die Abenteuer der Silvesternacht as well as tales such as Die Fermate completed on the 16.1.1815 and Der Artushof on which Hoffmann was working in February and March 1815 and which were both included in Die Serapions-Brüder, already casts serious doubt on the thesis that the Nachtstücke represent a change in Hoffmann's world view. This doubt is further reinforced by the fact that the tale is thematically linked with stories collected in the Fantasiestücke.

Despite such doubts, John Reddick sees a radical break with the 'Weltanschauung' espoused in Der goldne Topf.

The crucial difference, in Reddick's opinion, between Der goldne Topf and Der Sandmann is that in the former there is total perspectivism while the latter tale is narrated from a fixed standpoint. Nehring, on the other hand, is of the opinion, as we have seen, that Der goldne Topf acts as a model for the other tales, while Segebrecht raises the possibility that Hoffmann uses one story to relativise another. As it has been a constant theme of this chapter that fundamentally, Hoffmann's tales deal with the same problem: insight and its artistic representation, it is necessary to reject Reddick's point of view, give Nehring's qualified approval and agree with Segebrecht.

Nehring makes the point that Hoffmann's work, in many respects, is one giant 'tema con variazioni':

'Das Gesamtwerk Hoffmanns ist wie ein Netz aus wiederkehrenden Motiven, Sprachformeln, atmosphärischen Eindrücken geknüpft'. 96

This is correct, Hoffmann does indeed deal with tropes, variations on a theme, with the corollary that inevitably some of the stories complement one another, being integral parts of a meta-theme. In Der goldne Topf, the events revolve around the hero (whose dissatisfaction with his earthly lot finds its outlet in a sudden artistic calling), Lindhorst, Veronika (the love of Anselmus' bourgeois existence) and Serpentina (the principle of mediation between the everyday and the fantastic). In Der Sandmann, completed a full two years after Der goldne Topf, we have the hero Nathanael, who also wishes to become an artist, Coppola - Coppelius, who like Lindhorst is the embodiment of the fantastic, Clara, the love of Nathanael's bourgeois self

and Olimpia, who like Serpentina acts as a mediator between the two spheres.

Like Anselmus, Nathanael is a 'kindliches Gemüt' and as such more than receptive to a harmless fairy tale (as Anselmus is to an apple seller's curse): 'Der Sandmann hatte mich auf die Bahn des Wunderbaren, Abenteuerlichen gebracht, das so schon leicht im kindlichen Gemüt sich einnistet.'⁹⁷

In both stories, therefore, the world of the fantastic is in the mind of the hero. This is underlined by the fact that after the irruption of the unconscious into their conscious dealings both fall into a deep sleep.⁹⁸ In the same way that Anselmus falls into a form of coma after his experience outside Lindhorst's door, Nathanael also falls into a somnambulistic delirium as a result of his meeting, imagined or otherwise, with the sandman; 'Ein sanfter warmer Hauch glitt über mein Gesicht, ich erwachte wie aus dem Todesschlaf, die Mutter hatte sich über mich hingebeugt.'⁹⁹ Yet in his letter to Lothar, the inevitable rationalisation has already taken place, representation has diluted the immediacy of the experience, representation cannot convey insight:

'Genug! - ich war bei der Lauscherei entdeckt, und von Coppelius gemißhandelt worden. Angst und Schrecken hatten mir ein hitziges Fieber zugezogen, an dem ich mehrere Wochen krank lag.' 100

The rational explanation is further reinforced by Clara's reply to his letter:

'Geradeheraus will ich es Dir nur gestehen, daß, wie ich meine, alles Entsetzliche und Schreckliche, wovon Du sprichst, nur in Deinem Innern vorging, die wahre wirkliche Außenwelt aber daran wohl wenig teilhatte.' 101

Despite the fact that both Klaus Günzel and John Reddick

see Clara's portrayal as positive, her world view is, nevertheless, superficial.¹⁰² Although Clara recognises the existence of a psychic world, she is of the opinion that it can always be subordinated to the rationale of the world dream; she does not realise that, in the words of Lindhorst, 'es ist dessen unerachtet nichts weniger als ungereimt oder auch nur allegorisch gemeint, sondern buchstäblich wahr'. Clara does not realise that her world and that of the unconscious cannot be separated by a 'cordon sanitaire' and that those receptive enough to transcend the prosaic sphere are assailed by visions whose truth value to the individual concerned at the least rivals that of everyday reality. As a result, Clara fails to understand Nathanael. She fails to understand that he is an artist attempting to cope with the problem of the adequate representation of the workings of his imagination.

As a result of arguments based on rationalism, both Anselmus and Nathanael allow themselves to be temporarily convinced that the phantoms of the ego can be banished by a more positive and rational attitude. The result is that Nathanael begins to doubt the reality of his experience. Not only does Nathanael doubt the authenticity of his visions, however; the reader is also involved. By allowing Nathanael's letter to go to Clara instead of to Lothar and allowing the reader to see Clara's reply, Hoffmann creates the preconditions for negation and relativisation on two levels: not only is Nathanael's belief in the truth of his visions undermined, but in addition the reader is given cause to doubt his sanity as well as the authenticity of his account. Had

Clara's letter not been included in the narrative, the reader would unequivocally have accepted his account and as a result any reflection on the part of the reader would have been precluded.¹⁰³

Despite the stream of relativisations, ultimately the reader is left in no doubt that Nathanael's visions are true but that he must realise that this truth cannot be conveyed directly:

'Hast du, Geneigtester! wohl jemals etwas erlebt, das deine Brust, Sinn und Gedanken ganz und gar erfüllte, alles andere daraus verdrängend? Es gährte und kochte in dir, zur siedenden Glut entzündet sprang das Blut durch die Adern und färbte höher deine Wangen. Dein Blick war so seltsam als wolle er Gestalten, keinem andern Auge sichtbar, im leeren Raum erfassen und die Rede zerfloß in dunkle Seufzer. Da frugen dich die Freunde: „Wie ist Ihnen, Verehrter? - Was haben Sie, Teurer?“ Und nun wolltest du das innere Gebilde mit allen glühenden Farben und Schatten und Lichtern aussprechen und mühtest dich ab, Worte zu finden, um nur anzufangen. Aber es war dir, als müßtest du nun gleich im ersten Wort alles Wunderbare, Herrliche, Entsetzliche, Lustige, Grauenhafte, das sich zugetragen recht zusammengreifen, so daß es, wie ein elektrischer Schlag, alle treffe. Doch jedes Wort, alles was Rede vermag, schien dir farblos und frostig und tot. Du suchst und suchst, und stotterst und stammelst, und die nüchternen Fragen der Freunde schlagen, wie eisige Windeshauche, hinein in deine innere Glut, bis sie verlöschen will.'

Following this the narrator explains his own technique:

'Hattest du aber, wie ein kecker Maler, erst mit einigen verwegenen Strichen, den Umriß deines innern Bildes hingeworfen, so trugst du mit leichter Mühe immer glühender und glühender die Farben auf und das lebendige Gewühl mannigfacher Gestalten riß die Freunde fort und sie sahen, wie du, sich selbst mitten im Bilde, das aus deinem Gemüt hervorgegangen!' 104

Remembering Hoffmann's outline of Der goldne Topf in his letter to Kunz dated the 4.3.1814, we can see that he still adheres to the principle outlined therein, and the fantastic continues to exist in the everyday world. If

Anselmus, Kreisler, Nathanael, etc., are failures as artists, their failure lies in their inability to cope with world dualism. Thus Nathanael sees the power of the imagination as something outside himself:

'Er ging so weit, zu behaupten, daß es töricht sei, wenn man gläube, in Kunst und Wissenschaft nach selbsttätiger Willkür zu schaffen; denn die Begeisterung, in der man nur zu schaffen fähig sei, komme nicht aus dem eignen Innern, sondern sei das Einwirken irgend eines außer uns selbst liegenden höheren Prinzips.' 105

Nathanael does not realise that the power of the imagination stems from his unconscious which is both a part of himself and a part of a greater whole. In Johannes Kreislers Lehrbrief, written at the beginning of 1815 and published as the final tale of the Fantasiestücke we are told what the poet requires:

'Was dazu hauptsächlich notwendig scheint, ist Dir wirklich eigen worden. Du hast nämlich dein Hörorgan so geschärft, daß Du bisweilen die Stimme des in Deinem Innern versteckten Poeten (um mit Schubert zu reden) vernimmst, und wirklich nicht glaubst, Du seist es nur, der gesprochen, sonst niemand.' 106

The imagination resides in the unconscious as a form of anamnesis of a Golden Age and at the same time, therefore is a part of nature:

'Wie trat doch so sichtbarlich aus einer fremden fabelhaften Zeit die hohe Macht in sein Leben, die ihn erweckte! - Unser Reich ist nicht von dieser Welt, sagen die Musiker, denn wo finden wir in der Natur, so wie der Maler und der Plastiker, den Prototypus unserer Kunst? - Der Ton wohnt überall, die Töne, das heißt die Melodien, welche die höhere Sprache des Geisterreichs reden, ruhen nur in der Brust des Menschen. - Aber geht denn nicht, so wie der Geist des Tons, auch der Geist der Musik durch die ganze Natur?' 107

It is because Nathanael thinks that the imaginative force acts on him externally that he concretises it in the form

of the sandman. Nathanael's art fails because the fiction determines the fate of its creator. Nathanael breaks the link with the external circle and brings about his own destruction.

For Hoffmann only two major problems exist and both are of an artistic nature; first, coping with the power of the imagination which draws on the collective unconscious and, second, the artistic representation of the visions produced thereby. The only aim of the artist can be to promote conditions in which new insight is possible so that those capable of breaking free from the world of appearance can apprehend a greater dimension of experience; here, in the terminology of Solger lies 'das Schöne' in art.

It is not chance that Nathanael's fate is sealed the moment he ceases to relativise his visions and instead attempts to make them his property. Man's curse is his inborn yearning for the infinite and the ability to tap this higher reality by means of the imagination. Neither Anselmus nor Nathanael can be considered to be successful as artists because neither live up to the demands of their calling. The fact that one lives out his life in Atlantis while the other commits suicide is not coincidental, they are both symbols of failure, both reverse sides of the same coin. It is the artist's task to portray world dualism and to do this he must use the visions of the imagination, but the tools of expression are supplied by the real world:

'Vielleicht wirst du, o mein Leser! dann glauben, daß nichts wunderlicher und toller sei, als das

wirkliche Leben und daß dieses der Dichter doch nur, wie in eines matt geschliffnen Spiegels dunklem Widerschein, auffassen könne.' 108

Because Hoffmann's tales fundamentally deal with the same problem, a reading of Der Sandmann without taking into account the wealth of imagery and the depth of ideas in Hoffmann's other tales will always remain shallow. A full understanding of the aesthetic problems set out in the Fantasie- und Nachtstücke will always remain shallow. A full understanding of these problems makes a nonsense of Klaus Günzel's assessment of Der Sandmann: 'zum ersten Male in Hoffmanns literarischem Werk findet sich hier eine positive Darstellung des ganz und gar irdischen, ja bürgerlichen Lebens'.¹⁰⁹

Freud's interpretation of Der Sandmann similarly makes a number of interesting observations as does Siegbert Praver; yet however interesting these points may be, obscure talk about oedipal complexes and inverted mandalas does not make up for either's failure to deal with the central problem of the work, Nathanaels art and his failure as an artist.¹¹⁰

Written after Der Sandmann and published with it in the first volume of the Nachtstücke in 1817, Die Jesuitenkirche in G. once again deals with the problem of artistic representation.¹¹¹ The mood of the tale is set in the first two pages by the Enthusiast. In discussion with the Jesuit Professor Aloysius Walther about church architecture, the Enthusiast criticizes the Italianate excesses:

'„Sollte aber," erwiderte ich, „nicht eben jene heilige Würde, jene hohe zum Himmel strebende Majestät des gotischen Baues recht von dem wahren Geist des Christentums erzeugt sein, der,

übersinnlich, dem sinnlichen, nur in dem Kreis des Irdischen bleibenden Geiste der antiken Welt geradezu widerstrebt?" ' 112

To this Walther answers:

'das höhere Reich soll man erkennen in dieser Welt und diese Erkenntnis darf geweckt werden durch heitere Symbole, wie sie das Leben, ja der aus jenem Reich ins irdische Leben herabgekommene Geist, darbietet. Unsere Heimat ist wohl dort droben; aber solange wir hier hausen, ist unser Reich auch von dieser Welt.' 113

Walther is, of course, correct when he says that we must live in the earthly sphere while retaining the higher sphere in sight; his very secularity, however, precludes the possibility of his actually achieving this, as the Enthusiast recognises: 'Jawohl, dachte ich: in allem was ihr tatet, bewieset ihr, daß euer Reich von dieser Welt, ja nur allein von dieser Welt ist.'¹¹⁴ Despite the Enthusiast's negative opinion of Walther, however, he makes an important point when he suggests that the Enthusiast should not only look for insight from the sombre and the majestic, but that the imagination can just as easily be liberated by the lighter aspects of life.¹¹⁵ From the first two pages of the Jesuiterkirche in G., it is clear that the tale is, once again, concerned with the function of art, and after the brief discussion between the Enthusiast and Walther, the problem of artistic representation is explicated in greater detail through the character of Berthold.

Like Spikher, Berthold also sought his education as an artist in Italy and found only anguish there. Feeling himself to be one of those

'welche taub für das Klirren der Sklavenkette, fühllos für den Druck des Irdischen, sich frei, ja selbst sich Gott wähnen und schaffen und

herrschen wollen über Licht und Leben.' 116

Like Prometheus, however, Berthold discovers that his exact representations of nature are lifeless:

'Kennst du die Fabel von dem Prometheus, der Schöpfer sein wollte, und das Feuer vom Himmel stahl, um seine toten Figuren zu beleben?' 117

The sterility of Berthold's art is brought home to him by the 'Malteser',

'"Wohl getroffen in der Tat!" sprach es neben ihm. Berthold blickte auf, der Malteser sah in sein Blatt hinein, und fügte mit sarkastischem Lächeln hinzu: "Nur eins habt Ihr vergessen, lieber junger Freund! Schaut doch dort herüber nach der grün be-rankten Mauer des fernen Weinbergs! Die Türe steht halb offen; das müßt Ihr ja anbringen mit gehörigem Schlagschatten - die halbgeöffnete Türe macht er-staunliche Wirkung!" ' 118

Similarly, in respect of Berthold's desire to be the best in his field, he is told that there can be no hierarchy between the different fields of art. True art has only one function, to ignite insight. Art as mimesis can never ignite the flame of higher yearning for it is at best always a pale imitation of the original.

Berthold's problem is that common to all Hoffmann's artist heroes, presenting insight without reducing the intensity of the vision:

'Doch eben nur im Traume kam solche Seligkeit über den armen Berthold, dessen Kraft gebrochen, und der im Innersten verwirrter war, als in Rom, da er Historienmaler werden wollte.' 119

It is only as a result of experience that Berthold learns that nature is so vast, its objects so multiple, that any attempt at its adequate representation is doomed from the outset. Great art, he comes to realise, needs a focus. This focal point, in which the essence of the world's

multiplicity is encapsulated, is embodied in the artist's ideal:

'Ich mühte mich, das, was nur wie dunkle Ahnung tief in meinem Innern lag, wie in jenem Traum hieroglyphisch darzustellen, aber die Züge dieser Hieroglyphenschrift waren menschliche Figuren, die sich in wunderlicher Verschlingung um einen Lichtpunkt bewegten. - Dieser Lichtpunkt sollte die herrlichste Gestalt sein, die je eines Bildners Fantasie aufgegangen; aber vergebens strebte ich, wenn sie im Traume von Himmelsstrahlen umflossen mir erschien, ihre Züge zu erfassen. Jeder Versuch, sie darzustellen, mißlang auf schmachvolle Weise, und ich verging in heißer Sehnsucht.' 120

The problem is only finally resolved when Berthold sees the ideal of his mental world, the inner circle, in the phenomenal world of the outer circle. For as we have learnt, the artist has to use the objects of the everyday world to translate his internal visions into a completed work. It is only when Berthold sees the possibility of possessing the ideal, seizing the promethean spark by attempting to make the portrayed ideal manifest that he brings about his own destruction, for with Berthold's failure as an artist we also witness his failure as a man. After the completion of his last painting in an attempt to expurgate his sin, he can, like Medardus in Die Elixiere des Teufels, only find ultimate salvation in death.

The first page of Das Öde Haus, completed in March 1817 and published in volume II of the Nachtstücke in the autumn of 1817, provides us with a fitting epitaph for Berthold:

'„Viele“, unterbrach Franz den Freund, „viele sind berufen und wenige auserwählt! Glaubst du denn nicht, daß das Erkennen, das beinahe noch schönere Ahnen der Wunder unseres Lebens manchem verliehen ist, wie ein besonderer Sinn? Um nur gleich aus

der dunklen Region, in die wir uns verlieren könnten, heraufzuspringen in den heitren Augenblick".¹²¹

It is in Das Öde Haus, as Lothar Pikulik points out, that for the first time Hoffmann distinguishes between the adjectives 'wunderlich' and 'wunderbar'.¹²² This distinction is described as follows:

'Aus Eberhards Synonymik mußt du wissen, daß wunderlich alle Äußerungen der Erkenntnis und des Begehrens genannt werden, die sich durch keinen vernünftigen Grund rechtfertigen lassen, wunderbar aber dasjenige heißt, was man für unmöglich, für unbegreiflich hält, was die bekannten Kräfte der Natur zu übersteigen, oder wie ich hinzufüge, ihrem gewöhnlichen Gange entgegen zu sein scheint.... Aber gewiß ist es, daß das anscheinend Wunderliche aus dem Wunderbaren sproßt, und daß wir nur oft den wunderbaren Stamm nicht sehen, aus dem die wunderlichen Zweige mit Blättern und Blüten hervorsprossen.'¹²³

Applying this distinction back to Die Jesuiterkirche in G., 'wunderlich' is the fact that Angiola so closely resembles, even embodies, Berthold's conception of his poetic ideal. However, the vision itself is 'wunderbar', the true perception and representation of which is only made possible by the former. Similarly, the noises which Anselmus hears coming from the elderberry are 'wunderlich' because they are instrumental in awakening his insight. These sounds can of course be explained away rationally in the same way that the events surrounding the history of 'das öde Haus' can be explained away, but what Hoffmann is telling us is that 'das Wunderliche' is one of man's senses with which he can perceive the world, and that if this faculty is made use of then 'das Wunderbare' can often be perceived. Thus, 'das Wunderliche' is the trigger or lever which enables man to see the ideal, to achieve insight.

The old, apparently deserted house in the story of the same name is the lever which ignites Theodor's imagination:

'Schon oft war ich die Allee durchwandelt, als mir eines Tages plötzlich ein Haus ins Auge fiel, das auf ganz wunderliche seltsame Weise von allen übrigen abstach.' 124

It is clearly Theodor's state of mind which allows him to see the house differently, for he has passed down the street many times before, but projecting this into the appearance of the house leads his imagination to create a fictional world in which everything is the product of his psyche:

'Meine Fantasie war im Arbeiten und noch in selbiger Nacht nicht sowohl im Traum, als im Delirieren des Einschlafens, sah ich deutlich die Hand mit dem funkelnden Diamant am Finger, den Arm mit der glänzenden Spange. Wie aus dünnen grauen Nebeln trat nach und nach ein holdes Antlitz mit wehmütig flehenden blauen Himmelsaugen, dann die ganze wunderherrliche Gestalt eines Mädchens, in voller anmutiger Jugendblüte hervor.' 125

Following a pattern now well established, Theodor, as soon as he relates his insight, assumes the reader will doubt his vision, but again like Lindhorst he assures us that it is true. We are told that: 'der ganze Traum, wollt ihr nun einmal nicht abgehen von dieser Benennung, den vollendeten Charakter der Vision hatte'.¹²⁶

In addition to the obvious parallels to Der goldne Topf, Das Öde Haus also contains many elements which remind us of Der Sandmann, in many cases to the point of parody. Thus when Theodor sees his dream vision again the obvious similarity to Nathanael's perception of Olympia does not have to be stressed:

'Nicht nach mir, wie es vorhin schien, blickte sie, vielmehr hatten die Augen etwas Todstarres, und die Täuschung eines lebhaft gemalten Bildes wäre möglich gewesen'. 127

It is only as a result of the appearance of the Italian 'Tabulettkrämer' who with the words, 'Auch hier habe ich noch schöne Sachen', offers Theodor a mirror with which to look at the vision that his perspective is once again restored.¹²⁸ Following this he once again sees her as he saw her before in 'deutlichsten Zügen die holde Engelsgestalt meiner Vision.'¹²⁹ The recurring motifs of Der Sandmann can, if applied backwards, show us that the awakening of insight in Nathanael as a result of seeing Olympia should not of necessity be regarded negatively. The puppet is also a representative of 'das Wunderliche' by means of which 'das Wunderbare' can constitute itself in the poetic imagination. It is the fact that Nathanael cannot handle the creations of his imagination, as mentioned previously, that marks his failure as an artist and as a man.

While staring into the mirror, Theodor, like Anselmus, is interrupted in his musings by a representative of the real. This citizen also questions his sanity and with the shattering of the illusion relativisation takes place: 'Mir kam die Überzeugung, daß der Alte recht hatte, und daß nur in mir selbst das tolle Gaukelspiel aufgegangen'.¹³⁰ Finally, Theodor reaches a state which is denied Nathanael, he realises that the objects of his perception are created by his imagination.

In attempting to explain Theodor's vision, Hoffmann even introduces Reil's concept of insanity, which, as we have seen, is frequently the result of fixation:

'War es Absicht oder Zufall, daß einer der Freunde, welcher Arzneikunde Studierte, bei einem Besuch

Reils Buch über Geisteszerrütungen zurückließ.¹³¹

Immersing oneself in one's insights, losing the awareness of world dualism can, therefore, lead to insanity. The discussion with Dr. K. in which Kluge, Schubert and Bartels are mentioned by name, in addition, deals explicitly with the concept of the collective unconscious.¹³² One of the participants in the discussion concludes that such occurrences of a feeling of 'déjà vu' can be explained by

'dies plötzliche Hineinspringen fremder Bilder in unsere Ideenreihe, die uns gleich mit besonderer Kraft zu ergreifen pflegen, eben durch ein fremdes psychisches Prinzip veranlaßt würde?' 133

The doctor then continues,

'so ist doch so viel gewiß, daß uns die Natur das Talent und die Neigung der Maulwürfe nicht versagt hat. Wir suchen, verblindet wie wir sind, uns weiterzuarbeiten auf finstern Wegen. Aber so wie der Blinde auf Erden an dem flüsternden Rauschen der Bäume, an dem Murmeln und Plätschern des Wassers, die Nähe des Waldes, der ihn in seinen kühlenden Schatten aufnimmt, des Baches, der den Durstenden labt, erkennt, und so das Ziel seiner Sehnsucht erreicht, so ahnen wir an dem tönenden Flügelschlag unbekannter, uns mit Geisteratem berührender Wesen, daß der Pilgergang uns zur Quelle des Lichts führt, vor dem unsere Augen sich auftun!' 134

It is from this conversation that Theodor concludes that man might be the plaything of forces outwith his control and which he can never fully comprehend. The doctor agrees, but feels that Theodor's suggestion that man could also be at the mercy of demonic forces is going too far. The problem remains unanswered in this tale but constitutes a major theme of Die Elixiere des Teufels

CHAPTER IV

'DIE ELIXIERE DES TEUFELS' AND THE ARTIST'S QUEST FOR THE ANTIDOTE

The previous chapters attempted to show that there is an underlying homogeneity in Hoffmann's oeuvre. The conclusion reached was, that on a conceptual level, such a homogeneity exists. The following chapter will show that Hoffmann's Die Elixiere des Teufels, as a result of its consistent exposition of a Romantic world view and the problem of artistic representation, can be interpreted in conjunction with the Fantasie- und Nachtstücke.

Die Elixiere des Teufels is Hoffmann's first published novel.¹ Published in two parts; the first volume in 1815 and the second in 1816, Hoffmann began work on it on the 5.3.1814 if we are to believe the entry made in his diary on that day.² We can see, therefore, that its creation spans the period in which Hoffmann was also working on the Fantasie- und Nachtstücke.

It would be imprudent to deny that the novel presents the interpreter with a number of problems. Not the least of these is the extensive borrowing from the traditions of the 'Trivialroman' and the 'Schauerroman' which has led to an over-hasty dismissal of the novel as an anachronism in Hoffmann's oeuvre.³

An example of its thematic similarity to the genre of the Gothic novel can be seen, above all, in its, at first sight, extensive plagiarisation of Lewis' The Monk

which in many respects, can almost be regarded as its prototype.⁴ In addition, as Charles Passage shows, Hoffmann drew extensively on Calderón de la Barca's Andacht zum Kreuz, translated into German by Friedrich Schlegel.⁵ A final problem for the interpreter is the strongly Roman Catholic framework of the novel which has also led to no small degree of confusion.

Before actually attempting to interpret the novel and show the extent to which it can successfully be integrated in Hoffmann's aesthetics, however, it would perhaps be prudent to deal with the problems raised above. The similarity of the content, on a simplistic level at least, to the genre of the Gothic novel cannot be denied. Indeed, Hoffmann himself admits his debt to Lewis' novel. The question we should be asking ourselves, however, is not why Hoffmann borrowed from the 'Schauerroman' but why did he borrow from The Monk in particular? Even a cursory acquaintance with The Monk makes this plain, for in it we find elements which clearly distinguish it from the Gothic novel. In Lewis' work characters are no longer mere ciphers for modes of existence. A clear attempt is made to fuse both the good and evil of the female character in one person with sexuality posited as a major psychological drive in man's everyday dealings.⁶ This element in his work can surely not have escaped Hoffmann and may well have provided the impetus for writing Die Elixiere des Teufels, enlarging, as he did so, on the psychological problems raised by the combination of opposing forces in

the individual.

Similarly, the religious framework of Die Elixiere des Teufels provides the ideal vehicle for the exposition of the problem of artistic creativity, so closely related as it is to the problem of world dualism and insights into a higher form of existence. Hoffmann was undoubtedly impressed by many aspects of the Roman Catholic church; however, as Hans Georg Werner rightly points out, Hoffmann's use of Catholic forms of expression for the explication of his concept of being does not by implication mean that he accepted Catholicism or that this provides us with evidence for the theory that the writing of the novel coincided with a period of flirtation with its dogma.⁷ The conversation in the relics chamber shows clearly that the aspect of Roman Catholicism which interested Hoffmann was its recognition of a higher world not separated from the everyday world by an impenetrable barrier, in other words the existence of a higher sphere which could be seen to be at work in the everyday sphere. For Hoffmann the question whether this higher world is that of God or art is unimportant, for both are inextricably linked with the creation of the work of art arising from insight into the higher sphere.

It is, as a rule, taken for granted that the central theme of the novel is Medardus as a symbol for mankind. Thus, Karin Cramer writes:

'Wie im Kreisler-Roman geht es hier um den außerordentlichen, mit vielen Gaben ausgestatteten Menschen, dessen ganzes Leben eine einzige, nie endenwollende Suche nach sich selbst ist. Der Mönch Medardus, dessen Tagebuch in dem Roman Die Elixiere des Teufels vorliegt, steht für das Dilemma jedes Menschen'. 8

Peter von Matt, on the other hand, goes so far as to see Medardus' adventures as a mythical quest for the truth of his vocation.⁹ Horst Dämmrich, perhaps the most forceful proponent of the existentialist point of view, suggests that Medardus' adventures are the result of a quest for self-revelation and that many of his experiences are the products of a tortured mind while in the monastery.¹⁰

What all these works have in common is that they place Medardus at the centre of the novel. They see the meaning of the novel in the development of the character. However, it will be the contention of this chapter that the work is concerned, above all with the creation of a work of art in the poet's mind and that, as a result, the core of the work is not Medardus' development as a man but the genesis of the novel itself.

Wulf Segebrecht is presumably thinking along such lines when he suggests that it is necessary to distinguish between Medardus the memoirist and Medardus the hero of the novel.¹¹ This can be taken a stage further by venturing the opinion that Medardus did not write the chronicle at all and that Hoffmann never wanted us to assume this. The work, it could be argued, is the attempt of the fictive Editor who is in fact the fictive author to write a novel. A further level of complication is introduced by the failure of Hoffmann to name himself as the Editor of the posthumous papers. Is it Hoffmann himself or the Enthusiast or even someone else? The novel itself even provides evidence for the fact that Medardus' adventures are pure fabrication.

We learn in the novel that the old painter is only Medardus' great-great-grandfather, that Francesco the foundling is his great-grandfather, and that Franz, also known as Francesco, is his father. If, as the novel tells us, the old painter was a pupil of Leonardo da Vinci, then Medardus himself must have lived in the seventeenth century, which from the description of society in the novel is out by some two hundred years. Thus the narrative undermines its own fiction.¹²

If we assume that the tale was written by the Editor as a result of finding an old manuscript in a monastery, the next question we are faced with is, what is the purpose of such trickery, what is the author attempting to convey? The subterfuge only makes sense if we regard the fiction as a vehicle for Hoffmann to expound further on the artistic problem of representation which, as we have seen, is the theme of the works contained in the Fantasie- und Nachtstücke.

Art and the artistic problem in 'Die Elixiere des Teufels'

Given the wealth of evidence supplied by the text of Die Elixiere des Teufels, it is difficult to comprehend the reluctance on the part of critics to reconcile themselves to the fact that the main theme of the novel is art. Kenneth Negus states that both Francesco I and Medardus achieve fame through art.¹³ Medardus does so firstly as a result of his oratory and secondly as the ostensible author. Dietrich Raff suggests both Francesco and Medardus are the embodiment of the promethean problem.¹⁴ Not satisfied with the creation of his ideal on canvas, Francesco, like so many

of Hoffmann's artist heroes, wants to physically possess it. He fails to comprehend that the ideal is already within himself and that the representation can never adequately portray it. Thus he brings about his downfall. Unbridled vanity is the first external manifestation of the fall, 'Er hielt sich für den größten Maler seiner Zeit'.¹⁵

Francesco I eventually lapses into madness, howling like an animal because his painting will not come to life.

Medardus, who stands at the end of a long line of artists, is also from the beginning confronted with the problem of the insufficiency of representation in his inability to recreate in his mind the distant memories of the church of the 'heilige Linde'. This residual memory can be seen as a form of anamnesis of mankind's long lost golden age. It is the words of the pilgrim which are a determining factor in Medardus' life. When some youths attempt to sketch the young Franz and his companion, 'einen fremden wunderschönen Knaben', the pilgrim tells one of them,

'Elender Spötter, du willst ein Künstler sein und in deinem Innern brannte nie die Flamme des Glaubens und der Liebe; aber deine Werke werden tot und starr bleiben wie du selbst, und du wirst wie ein Verstoßener in einsamer Leere verzweifeln und untergehen in deiner eignen Armseligkeit'.¹⁶

The memories of the golden age which Franz still carries with him should not only be taken to represent the age of innocence, a Garden of Eden before Adam tasted sin, but over and above this as a time which the reflecting Medardus recognises as the environment in which true art can flourish, and as such the externalisation of the state of mind he needs to achieve. In other words what

we are presented with in this episode is the effect of another 'Ammenmärchen' on a 'kindliches Gemüt'.¹⁷

Persuaded by his mother to enter a monastery, in her eyes his only possibility to absolve the sins of his father, the fragmentation of Franz's psyche manifests itself. Changing his name from Franz, the name of his father, to Medardus, symbolises the physical amputation of sinfulness and simultaneously the abrogation of artistic creativity. The artist, so that he can gather the material necessary for artistic representation, has to be in contact with the phenomena of the external circle; it is not possible to incarcerate oneself in an artificial Eden. Even the words of the pilgrim must therefore seem anachronistic:

'Euer Sohn ist mit vielen Gaben herrlich ausgestattet, aber die Sünde des Vaters kocht und gärt in seinem Blute, er kann jedoch sich zum wackern Kämpfen für den Glauben aufschwingen, lasset ihn geistlich werden!' 18

The fact that true spirituality is a matter of belief or conviction and is not achieved simply as a result of entering a monastery is shown in an episode when the abbess presses the young Franz to her and her crucifix brands him.¹⁹ Similarly, the wine she gives him to calm him has a curious and unintended effect on the child:

'Als ich einige Tropfen des süßen Getränks, das mir bis jetzt unbekannt gewesen, gekostet, kehrte mein munterer Sinn, die besondere Lebendigkeit, die, nach meiner Mutter Zeugnis, von meiner frühesten Jugend mir eigen war, zurück.' 20

Even before Franz enters the monastery, motifs appear which preempt future events, removing the constrictions of time and space and consequently the need to search for

strict chronological development in the novel. To understand the novel it is necessary to distinguish between what is understood in the successive acts of comprehension during the actual reading of the novel and the final insight into its creation, which is not successive but simultaneous.

Die Elixiere des Teufels is structured in such a way that any attempt at successive comprehension or chronological interpretation is discouraged; as a result the novel's meaning becomes apparent through simultaneous understanding.

Further evidence that all is not well with the young Franz can be seen in the way he immediately becomes infatuated with the abbess, 'ich mochte nur sie anschauen, nur sie hören.'²¹ Franz's behaviour indicates a disturbed mental state with its constant need for transference and the resulting fixation, a state of mind which we have already seen in a number of Hoffmann's artist heroes.

That Franz's calling as an artist cannot be repressed as simply as the pilgrim and his mother assume is made only too apparent by the effect choral music has upon him:

'Noch jetzt sind die Empfindungen, die damals meine Brust durchbebt, nicht erstorben, sie leben auf, in jugendlicher Frische, wenn ich mein Gemüt ganz zuwende jener seligen Zeit, die nur zu schnell verschwunden. Ich gedenke lebhaft eines Gloria, welches mehrmals ausgeführt wurde, da die Fürstin eben diese Komposition vor allen andern liebte. - Wenn der Bischof das Gloria intoniert hatte, und nun die mächtigen Töne des Chors daherbrausten: Gloria in excelsis deo! - war es nicht, als öffne sich die Wolkenglorie über dem Hochaltar?'²²

For the man receptive to the calling of the higher sphere, art is the key. Franz is clearly such a person. While experiencing the effect of the music, however, Franz, con-

sidering the influence of his mother, can be forgiven for believing that the feelings awakened in him are the result and confirmation of his religious calling. The reflecting Medardus and therefore editor and fictional author know that it is in fact the effect of the music that produces the insight.²³

When Franz finally leaves home to enter the monastery one is reminded of Heinrich von Ofterdingen, only here we have its inversion.²⁴ Traditionally, the image of the youth leaving home is one of joy at breaking out of the confinement of childhood tinged with sadness about the passing of a time in which he was happy. In Die Elixiere des Teufels, Franz leaves relative freedom for a life of confinement behind the walls of a monastery. The rapturous description of the countryside surrounding the monastery all too soon becomes a stark reminder of this confinement.

Franz, now Medardus the monk, soon discovers that entering the monastery and the wilful suppression of a part of his psyche cannot shut out life, the raw material of artistic representation. Medardus' feelings of confinement reach breaking point with the onset of puberty. Sexuality and its repression should not, however, be interpreted in a Freudian sense, but rather be seen as a manifestation of the continuing debasement of the artistic ideal.²⁵ The irrational feelings directed exclusively towards the abbess are now directed at any member of the opposite sex. As a result, the intensity of feeling at seeing the scantily dressed sister of the 'Konzertmeister'

is explained away in religious terminology as 'eine böse Anfechtung des Teufels'.²⁶

Repression leads to infatuation and fixation. Female sexuality replaces the artistic ideal and as a consequence the residual memory of the 'wunderbare Knabe' and the 'heilige Linde' recedes. Paradoxically, however, it is Medardus' repression of sexuality which causes his innate artistic drive to break through once again but in the distorted, debased form of his forbears.

When Medardus sees the elixirs in the relics chamber it is clear that no amount of suppression will enable him to escape his calling and its attendant dangers. For Cyrillus, who introduces Medardus to the elixirs, they have the function of a lever. But because he has spent his life incarcerated behind the walls of the monastery, this awakening of his stultified imagination as a result of coming into contact with the elixirs is simply rationalised away as the work of some malign force:²⁷

'Übrigens kann ich versichern, lieber Bruder Medardus! daß, sooft ich die Flasche, ja nur dieses Kistchen, worin sie verschlossen, berühre, mich ein unerklärliches inneres Grauen anwandelt, ja daß ich wähne, etwas von einem ganz seltsamen Duft zu spüren, der mich betäubt und zugleich eine innere Unruhe des Geistes hervorbringt, die mich selbst bei den Andachtsübungen zerstreut. Indessen überwinde ich diese böse Stimmung, welche offenbar von dem Einfluß irgendeiner feindlichen Macht herrührt, sollte ich auch an die unmittelbare Einwirkung des Widersachers nicht glauben, durch standhaftes Gebet.' ²⁸

One should perhaps not overstress the fact that C.G. Jung regarded smell as one of the most potent mediums to the collective unconscious, but given the clear line of influence stretching from Romanticism to Jung's theories, the point

deserves to be borne in mind when considering the effect of the elixirs.²⁹

Within the context of what has been said about the artistic imagination in this and previous chapters, it is reasonable to assume that the problem under discussion in Die Elixiere des Teufels is what constitutes the poetic imagination, where is the repository from which the imagination draws its insight and what does the artist do to harness the images that flood into his conscious dealings? We have already seen that in part the material for representation is drawn from the phenomenal world, but in addition to this, it is the poetic recreation of the world ('potenzieren') with which the artist must concern himself.

Cyrellus is of the opinion that Medardus is not yet old enough to cope with the effects of the elixirs, in other words the insights made possible with their help. Indeed, as we have seen in the case of Nathanael, insight, if it is unchannelled, can turn in on itself and destroy its creator:

'Dir, lieber Bruder Medardus, der du noch so jung bist, der du noch alles, was dir deine von fremder Kraft aufgeregte Fantasie vorbringen mag, in glänzenderen lebhafteren Farben erblickst, der du noch, wie ein tapferer aber unerfahrener Krieger, zwar rüstig im Kampfe, aber vielleicht zu kühn, das Unmögliche wagend, deiner Stärke zu sehr vertraust, rate ich, das Kistchen niemals, oder wenigstens erst nach Jahren zu öffnen, und damit dich deine Neugierde nicht in Versuchung führe, es dir weit weg aus den Augen zu stellen.' 30

Unwittingly, Cyrellus foresees the turmoils through which Medardus has yet to pass in the quest for artistic representation. But he does not realise that Medardus can do no

other than drink the elixirs. As an artist it is necessary for him to probe the limits of experience; he cannot follow Cyrillus' bourgeois dictum of letting sleeping dogs lie.

Denied an outlet for his innate creativity, Medardus seeks to satisfy his inner needs and drives by attempting to master the art of oratory. The mere awareness of the existence of the elixirs spurs him on into new spheres of creativity and thus prepares the ground for the journey he has yet to undertake. Given the fact that Medardus' imagination and consequently his creativity are not permitted to flourish within the confines of the monastery, one must concur with Dietrich Raff's conclusion that Medardus' return to the monastery represents the 'versuchten und mißlungenen Rückzug in die Innerlichkeit'.³¹ There can be no doubt that to an extent, the prior Leonardus incorporates many positive aspects; however, he is not an artist, and as is made clear in Hoffmann's later tales, it is not possible for an artist to remain in a state of isolation.³² Thus, Wolfgang Nehring's conclusion that at the end of his odyssey, Medardus' return to the monastery is synonymous with a reconciliation of the opposing drives within himself is simplistic:

'Mit seiner Rückkehr in das fromme klösterliche Leben löst Medardus den Fluch seines Ahnherrn und sein eigenes Lebensproblem. Die höhere Welt der Religion und die menschliche Welt vereinigen sich am Ende in seinem Dasein.'³³

One might say with equal justification, as indeed some do, that Anselmus unites the opposing forces within himself in Atlantis. But, such peace is impossible for anyone who has

experienced insight and wishes to represent it artistically. Earthly happiness, in a shallow sense, can be achieved by the blinkered bourgeois, by shutting out large areas of the psyche by means of the censorial power of consciousness. It is the rejection of the unconscious that is the reason for Belcampo's reproach, a point which will be dealt with in more detail later in the chapter.

There is no doubt that much of the theorising on the unconscious, in particular by Belcampo, is a result of Hoffmann's interest in psychology.³⁴ It is perhaps as a result of this theorising that so many interpreters have of late been swept away on a psycho-analytic tide, seeing man's existential dilemma as the one and only key to the understanding of the novel. As we have already seen, Karin Cramer regards Medardus as a symbol for mankind's existential dilemma.³⁵ Gisela Maucher sees the explication of the themes of insanity, the 'Doppelgänger' and the nature of the 'spiritual woman' as attempts to grasp mankind's dualism.³⁶ While Natalie Reber sees Die Elixiere des Teufels as a reconstruction of man's development from a paradisiacal state of innocence through an intermediate state of sin, in a kind of spiral to an eventual state of higher harmony.³⁷

It is somewhat paradoxical after the attempt in Chapter II to show the extent to which Hoffmann was influenced by psychology and psychoanalysis, that those works which attempt to interpret the novel under consideration using psychoanalytic models should come in for criticism. Such criticism is nevertheless necessary to prevent the over-

evaluation of psychology. There can be no doubt that Hoffmann was deeply interested in this subject, but this interest was not the interest of a physician. Above all else Hoffmann was an artist and what interested him was artistic representation. Thus, the problems that interested him when he observed or read about somnambulist phenomena, for example, were not methods for curing insanity but rather the insights these phenomena provided for art. For this reason it would appear to be misapplied effort to attempt to interpret Die Elixiere des Teufels from a modern existentialist viewpoint or a case study of mental disorder.

To interpret Die Elixiere des Teufels we must therefore bear in mind Hoffmann's interest in psychology but at the same time remember what lies at the root of this interest. Like his previous short stories, this novel is also primarily a 'Künstlerroman'.

The elixirs as a symbol of the negation of the artistic impulse

Medardus, whose artistic potential has been stifled as a result of his self-imposed isolation in a monastery becomes with the onset of puberty increasingly plagued by feelings of guilt because of the emergence of a level of desire he does not feel able to control. Having already repressed his artistic instincts, which as a result of his father, are also regarded as sinful, he now represses his sexuality which is also regarded as sinful. Thus art becomes a means of repressing his sexuality while at the same time sexuality, in the sense of the physical possession of a woman, destroys the artistic ideal, because for Medardus possession itself becomes the ens realissimum.

The distillation of feelings of repression in Medardus are finally brought out into the open as a result of contact with and the final partaking of the elixirs of which, as Cyrillus points out, there is one to suit everybody. It is therefore no coincidence that it is directly after Medardus' first encounter with them that the artistic drive, albeit in a debased form, breaks through into his consciousness. In the same way that the relics act as a lever which can transport the receptive individual to a higher sphere, so the elixirs also function as a lever but a perverted lever.

Medardus' success as a preacher begins the acceleration of the loss of self which, as we must not forget, began with his entering the monastery and the changing of his name. The state Medardus now enters is

succinctly summed up by Leonardus:

'du siehst dich selbst in einer Gestalt, die
nicht dein eigen, sondern ein Trugbild ist'. 38

But Leonardus is of course only stating the obvious; Medardus is after all only playing at being a monk. A 'Mann ohne Eigenschaften', he assumes roles in life the way an actor assumes roles on stage.

The spiritual connection between Medardus and Belcampo is similarly to be found in their respective role playing, the difference between the two is that the latter is aware of his role playing, using it consciously as a technique to cope with the ravages of world dualism. This encounter only serves to stress the lack of any firm feeling of identity on the part of Medardus. All the conditions have now been fulfilled for the first appearance of the old painter, the embodiment of Medardus' artistic failure.³⁹

Medardus' journey begins with the drinking of the elixirs, marking an inverted communion and the relinquishment of the artistic ideal. It is after the drinking of the elixirs that, as Dämmrich points out, it is difficult to differentiate real from psychic events.⁴⁰ It also however, marks the beginning of his odyssey to self-awareness and the attempt to become an artist. Thus the leaving of the monastery ends the first section of the novel and marks the end of a stage in his development.

The title of the second part of the novel; 'Der Eintritt in die Welt', underlines Medardus' rebirth. From this point onwards, it becomes even more difficult to differentiate to any meaningful degree between psychic and 'real'

events. All the main characters are by now known to the reader; the 'Äbtissin', Leonardus, Cyrillus, Aurelie, even the count who first brings Medardus into contact with the elixirs and could be Viktorin, and, finally, the 'alte Maler'. Interesting as it is to speculate about what is real and imagined, however, if the novel has been written by the narrator and not by Medardus in an attempt to clarify the artistic problem and provide a model for the genesis of a work of art, then any differentiation between psychic and 'real' events is specious because all the events are the products of the narrator's imagination. Thus the central concept of this section becomes 'der Gedanke ist die Tat'. In Hoffmann's opinion, the two could no longer be differentiated.

We have already seen that Medardus lost any hold on his true self upon entering the monastery. As a result the ground is already prepared for the assumption of the role of Viktorin after his supposed death. Escape from the monastery has, however, meant that despite his role change and the assumption of another persona, Medardus begins to recognise the motivation for his own actions, the first stage in the regaining of his identity. When he speaks to Viktorin's manservant he is aware of the fact that the words he is speaking are not in fact his. The hypothesis could be made, although as already mentioned this should not be laboured, that Viktorin, Aurelie, Hermogen, etc., are all constituents of Medardus' 'Gesamt-Ich!', all the elements of which need to be integrated into

his psyche before he can be a complete man. On one level this is of course true and not merely an hypothesis as - although the reader is not yet aware of the fact - the above characters are all members of Medardus' family and therefore do represent a part of himself.

Increasingly, Medardus is sucked into a vortex of events not of his own conscious making and no longer under the control of rationality:

'Mein eignes Ich zum grausamen Spiel eines launenhaften Zufalls geworden, und in fremdartige Gestalten zerfließend, schwamm ohne Halt wie in einem Meer all der Ereignisse, die wie tobende Wellen auf mich hineinbrausten. - Ich konnte mich selbst nicht wiederfinden!.... Ich bin das, was ich scheine, und scheine das nicht, was ich bin, mir selbst ein unerklärlich Rätsel, bin ich entzweit mit meinem Ich!' 41

It is at the 'Schloß in B.' that Medardus' artistic failure is given its full expression; the 'heilige Rosalie' assumes an earthly guise in the form of Aurelie: 'nicht Aurelie, die heilige Rosalie selbst war es.'⁴² The impossibility of the physical possession of the extemporized ideal is later made manifest by the fact that Aurelie is also his sister; at this point in the novel, however, the equation of the real and the ideal in physical form plunges Medardus back into a disturbed mental state with sexual possession representing the ultimate debasement of the poetic ideal.

Throughout the novel Medardus' state of mind is directly dependent on whether he makes the equation Aurelie - Rosalie or not. The more complete the equation the further he is from the recognition of his own identity

and calling towards which he is inexorably moving. The death of Euphemie becomes a psychic necessity for Medardus after he has taken possession of her physically, her mere existence representing a concrete example of his failure to incorporate sexuality into his psychological make-up:

'Der Gedanke stieg mir auf, sie zu töten, ich unterließ es ohne mich dessen bewußt zu sein, denn im ersten Augenblick, als ich die Tapetentüre schloß, glaubte ich die Tat vollbracht zu haben!' 43

Shortly afterwards Euphemie is dead, poisoned. The thought has become the deed.

It is after stabbing Hermogen to death that Medardus, for the first time, comes face to face with his 'Doppelgänger'. It is the function of Viktorin/'Doppelgänger' to remind Medardus of the darker side of his psyche in the same way that Euphemie's representation of sexuality must be recognised as a part of himself. After the recognition of these repressed elements, Medardus flees into a deep pine forest attempting to seek refuge in the gloom of the unconscious.

As in all of Hoffmann's descriptions of outbreaks of insanity, Medardus lapses into unconsciousness after his flight from the castle.⁴⁴ Natalie Reber interprets this flight as a flight from his own ego, claiming that the change of clothes and hairstyle represent the attempt to turn himself into a new person.⁴⁵ Here Reber rather overstates her case; Medardus' flight is certainly panic-stricken, but can it be explained as a flight from his own ego? We have already seen that Medardus is a man with

no centre; his journey is aimed precisely at the restoration of the ego by means of which he will be able to grasp the intrinsic dualism of existence and become creative. What Medardus is fleeing from is a partial mode of existence.

In this case it is the evil side of the self; the part of ourselves that most of us only experience psychically, pure hatred, violence, murder, Medardus experiences directly as a result of his connection of the thought and the deed.

Medardus awakens from the deep sleep induced by the temporary outbreak of insanity in a pastoral setting, the sound of church bells resounding through the valley. It is not yet possible for him to accept evil as a necessary part of himself and therefore he avoids any identification with the deeds at the castle by changing his persona, casting off his monkish garb, 'so daß ich mich selbst, als mir der Bach mein Bild heraufspiegelte, kaum wiedererkannte.'⁴⁶ This achieved, Medardus leaves a part of himself behind. Once again the moral censor suppresses a part of his ego:

'und es war mir, als habe nur meine überreizte Fantasie mir Viktorins blutige gräßliche Gestalt gezeigt, und als wären die letzten Worte, die ich den mich Verfolgenden entgegenrief, wie in hoher Begeisterung, unbewußt, aus meinem Innern hervorgegangen'.⁴⁷

Despite the repression, however, he finds it impossible to rid himself of his artistic calling. The vision of the inner ideal remains intact, Aurelie once again becomes 'ein holdes Bild', but his attempt to seek this ideal in the earthly sphere remains destructive, she must remain a picture if he is to be creative.

Medardus is not yet ready to exist in the everyday world, either as man or artist. This is underlined by the fact that as soon as he ventures out into the world he is arrested for being unable to prove his identity. The psychic world of the fragmented ego collides with the world of appearance and founders on it. Increasingly, Medardus is overwhelmed by a feeling that he is being carried along on a tide of events over which he has no control. Euphemie's boast of being able to master the external sphere shows itself to be an impossibility as a result of its heterogeneity. Medardus must learn to survive in this environment as Belcampo has learnt to do, namely by swimming against the tide, he creates the illusion of walking on water.

Medardus' first meeting with Belcampo sets the scene for all subsequent meetings which take place when Medardus is in distress. This fact has led Reber to venture the opinion that Belcampo is also Medardus 'Doppelgänger'.⁴⁸ However, Belcampo's conception of art is so close to that of Hoffmann and by definition that of the fictitious editor and possible author that Belcampo represents far more than a 'Doppelgänger'. Belcampo represents a concrete example of the artist's ability to survive in a world rent by dualism and remain creative. When he makes the distinction between skill (*Geschicklichkeit*) and art this could equally be Hoffmann discussing a new composition in his musical criticism:

'Ha was ist *Geschicklichkeit*! Sie ist fremd dem Pietro Belcampo, den die Kunst die heilige durchdringt. - Die Kunst, mein Herr, die Kunst! - Meine

Fantasie irrt in dem wunderbaren Lockenbau, in dem künstlichen Gefüge, das der Zephirhauch in Wellenzirkeln baut und zerstört. - Da schafft sie und wirkt und arbeitet. - Ha es ist was Göttliches um die Kunst, denn die Kunst, mein Herr, ist eigentlich nicht sowohl die Kunst von der man so viel spricht, sondern sie entsteht vielmehr erst aus dem allen, was man die Kunst heißt!' 49

The difference between the states of mind of Belcampo and Medardus is not merely that one has an intact ego and the other does not. The difference lies in the fact that Medardus has no control over his role playing while Belcampo's persona is infinitely variable but always under control. Belcampo is conscious of the variability of his persona and consciously uses it as a defence against world dualism. So that life's antinomies can be avoided he walks across them on a tightrope of scurrility. The price of failure of this precarious mode of existence is insanity or society's definition of it. Belcampo recognises the way in which dualism has torn Medardus' psyche apart and sees this schizophrenia as a result of attempting to encompass both sides of heaven within himself.

With his new persona Medardus once again lapses into sinfulness. As a result, the old painter reappears, representing not only the apparition of an ancient forebear, the beginning of the sinful line, but also the personification of the artistic calling. After Belcampo saves him from a mob of angry townspeople because the 'alte Maler' has accused him of murder, Belcampo once again places the situation into perspective by telling Medardus that the origin of his vision is of a psychic

nature, the result of insight into a higher sphere, which, had his state of mind been receptive and had he known how to use it correctly, would have represented the material for creativity:

'denn dieser Maler ist Ahasverus der ewige Jude, oder Bertram de Bornis, oder Mephistopheles, oder Benvenuto Cellini, oder der heilige Peter, kurz ein schnöder Revenant, und durch nichts anders zu bannen, als durch ein glühendes Lockeneisen, welches die Idee krümmt, welche eigentlich er ist, oder durch schickliches Frisieren der Gedanken, die er einsaugen muß, um die Idee zu nähren, mit elektrischen Kämmen. - Sie sehen, Verehrter! daß mir, dem Künstler und Fantasten von Profession, dergleichen Dinge wahre Pomade sind'. 50

Not only does the artist require such insight if he wishes to be truly creative, but he also has to be able to subordinate this insight: therein lies the mark of the true artist.

Belcampo sets the multiplicity of events in Die Elixiere des Teufels into an artistic perspective and thus has a similar function to the 'Rahmengespräche' of the brethren in Die Serapions-Brüder. Following his encounter with this grotesque character, Medardus once again enters the forest. The gloom of the forest is, however, no longer merely the undefined nature of the unconscious, it now takes on an added dimension; it becomes the personification of the wellspring of the Romantic imagination, populated by foresters, spirits and 'Freischützen'. It is almost tempting to believe that the reflecting monk has taken Belcampo's words to heart and is now moulding the insights of the imagination symbolically into a work of art.

At a forester's house in the centre of the forest, Medardus once again encounters his 'Doppelgänger'. In a

dream sequence which exactly parallels the mesmerists' description of the phenomenon of 'Doppelschlaf', Medardus, while in a state of delirium, sees himself enter the room.⁵¹ Medardus does not of course recognise this vision as a part of himself. Instead of realising this and incorporating this facet of himself into his personality, he once again externalises it: 'Du bist nicht ich, du bist der Teufel'.⁵² The 'Doppelgänger's' laughter, however, appears to transcend the sphere of sleep, escaping the confines of the unconscious and ringing into Medardus' conscious world. It is only after this experience that Medardus begins to be aware that he can no longer differentiate between the dream and the real. It is also at this point in the novel that Medardus' downward spiral bottoms out.

As Medardus can no longer differentiate between the external world and the world created by the working of his imagination, he has lost any possibility of being artistically creative. As a result of his inability to apprehend the dual nature of existence, he becomes a mere cipher, unconsciously acting out roles imposed upon him externally like a poor actor.

It is the failure to differentiate between the creations of his imagination and the phenomena of the real world that leads Medardus to attempt to explain away his strange experiences as being the result of the influence of a malign external force. No longer, in his opinion, capable of finding a remedy, he is no longer

capable of the imaginative act of freeing his self from himself. Instead of recognising that the resolution of the problem lies within himself, he becomes a disciple of a kind of deterministic fatalism. The dark forest surrounding the house of the forester behind him, the narrative shifts, without any verbal transition, to the structured world of the Duke's court.⁵³ It is here that the extent of Medardus' fall is thrown into sharp relief and it is here that the beginning of his attempt to regain his creativity can be observed.

Once again Medardus acquires a new persona and uses the name Leonhardt. Despite the fact that he has lost his creativity, however, we can perceive that he retains the ability to distinguish between the true nature of art and mere imitation:

'Das Gespräch wandte sich zur Kunst, ich bewies mich als guter Kenner der Malerei, und als praktischer Tonkünstler, ich wagte manchen Widerspruch gegen seine Urteile, die geistreich und präzise seine innere Überzeugung aussprachen, aber auch wahrnehmen ließen, daß seine Kunstbildung zwar bei weitem die übertraf, wie sie die Großen gemeinhin zu erhalten pflegen, in dessen doch viel zu oberflächlich war, um nur die Tiefe zu ahnen, aus der dem wahren Künstler die herrliche Kunst aufgeht, und in ihm den göttlichen Funken des Strebens nach dem Wahrhaftigen entzündet.' 54

The fact that Medardus is able to contradict the Duke not only shows his awareness of true art but also marks the increasing congruence of the views of the experiencing character and the author. Thus, in Medardus' opinion, nothing in the Duke's park evinces the slightest sign of artistic creativity, everything is merely a copy of something that already exists which itself is a copy.

Medardus' embryonic recognition that he is not in fact the unwitting tool of some external force comes as a result of the Duke's passion for games of chance. The game of faro is praised by the Duke because it resembles life. Life is reduced to a game of chance. In the same way that Medardus' determinism has engendered in him the realisation that he is helpless against a malevolent chance which brings all of man's endeavours to nought, so the game of faro defies any attempt on the part of the individual to plan:

'Man tritt gleichsam aus sich selbst heraus, oder besser, man stellt sich auf einen Standpunkt, von dem man die sonderbaren Verschlingungen und Verknüpfungen, die die geheime Macht, welche wir Zufall nennen, mit unsichtbarem Faden spinnt, zu erblicken imstande ist. Gewinn und Verlust sind die beiden Angeln, auf denen sich die geheimnisvolle Maschine bewegt, die wir angestoßen, und die nun der ihr einwohnende Geist nach Willkür forttreibt.' 55

And yet the power of the machine to show the workings of fate in man's life is more apparent than real. It is under man's control in the same way that it is possible for man in the external circle to master one's fate to a large extent.

The game of chance does not show the workings of chance on people's lives. What it shows is the ability of men to manipulate the lives of other men. Similarly, Medardus' life is not the plaything of chance, the victim of some indeterminate incomprehensible force, be it God, the Devil or the unconscious, he is also to a large extent a free agent. He must realise that as mankind has learned to live with the collective sin of the adamite self, so

he, too, is not merely the sum of his forebears' sins. True, he cannot escape their sins, but he must understand that as Adam sinned, so they sinned and so he will sin and that it is its repression which, to use one of the Pope's metaphors, surrenders the giant up to the mercy of the beast. In other words, the unconscious state assumes ascendancy over consciousness.

Events at the court of the Duke initially help to strengthen Medardus' morbid belief that he has no freedom of action. As a consequence of this, his large win playing cards after seeing Aurelie's face on them becomes associated in his mind with the incident at the forester's house when he killed two birds with one bullet. Again he believes he is the tool of a transcendent power.

The fact that at the court Medardus once again encounters a constellation of characters who are difficult to differentiate from the other characters who have influenced his development, at first sight appears to reinforce further Medardus' theory on free will. However, it is the very similarity of the characters, a similarity stemming not only from behavioural patterns and physiognomic resemblance and the fact that they all seem to share the same fate and to know the same people and, by and large, are descended from the same line, which awakens the suspicion that what we are in fact observing is the creation of a work in its different drafts. Each scene represents not a new adventure but the poetic re-creation of the original insight in an attempt to find an adequate

representation. In other words they are the poetic 'Potenzierung' of events and as such the narrator's and fictitious author's attempt to provide a concrete example of artistic creativity at work from the idea to its concrete representation.

This, too, would explain many of the problems the novel poses the interpreter; the lack of transition between locations, the fact that no detectable time sequence can be discerned and that the novel evinces no historical development. Unlike other didactic novels of the period, Die Elixiere des Teufels is not a vehicle for Medardus to learn anything new; what he experiences is the poetic reworking of what he already knows. Seen from such a perspective, it is possible to regard Die Elixiere des Teufels as a stratified novel operating on three levels simultaneously: first on a superficial level, Medardus' journey and his coming to terms with himself and his life; second the adventures and his coming to terms with himself as the extemporisation of the hero's psychic development, and third the manipulation of these events by the editor or fictitious author to exemplify the artistic process.

What we are presented with in this novel, therefore, is the paralleling of Medardus' experiences as psychic events which stem from the reworking, in his mind, of a psychosis, with the artist's attempt to mould such an experience into a work of art, ie. attempt to put down on paper a representation of insight with all its

attendant problems. Seen from this perspective, it can surely be no coincidence that this attempt on the part of the editor so closely matches that of the Enthusiast in, for example, Der Sandmann.⁵⁶

At court Medardus immediately has an unsettling effect on the Duke's wife, an effect, which, Medardus learns from the doctor, is a result of his uncanny resemblance to a former favourite of the Duke called Francesko. Suddenly Medardus is overwhelmed by a feeling that he is emerging from a tunnel and that the slow unfolding of a long repressed truth has begun:

'Jene Begebenheit schien mir ein Geheimnis erschließen zu wollen, in das ich selbst verflochten war, und um so mehr drang ich in den Leibarzt, mir das zu vertrauen, welches zu erfahren, mich die zufällige Ähnlichkeit mit Francesko zu berechtigen scheine.' 57

The information that Medardus now receives from the doctor is of course information he already knows about the sins of his father and consequently about himself, but he is not yet ready to achieve this new perspective on himself as a result of reflection; it still has to be externally imposed.⁵⁸

The doctor's revelations, which end with Medardus and his mother going to the 'heilige Linde', finally bring home the realisation who his father was and the deeds he himself has committed: 'Francesko war mein Vater, er hatte den Prinzen mit demselben Messer ermordet, mit dem ich Hermogen tötete!'⁵⁹ However, this first awakening of guilt is only temporary. The first volume of the novel ends

with the reappearance of Aurelie, the ideal Medardus wishes to possess and as a result he is confronted with the supreme test of man and artist, the renunciation of the desire for possession, and the rejection of the devil's elixirs.

The antidote and the union of opposites

Significantly, the first section of volume II of Die Elixiere des Teufels begins with the conscious Medardus speaking to the reader from the narrative present. Here, more clearly than anywhere else in the novel, we can see that any optimistic interpretation of the novel in terms of Medardus finding peace is impossible. Ultimate escape from dualism is only possible in death:

'In wessen Leben ging nicht einmal das wunderbare, in tiefster Brust bewahrte, Geheimnis der Liebe auf.....Aber das Mysterium blieb unerfüllt, eine finstre Macht zog stark und gewaltig dich zur Erde nieder, als du dich aufschwingen wolltest mit ihr zu dem fernen Jenseits, das dir verheißen. Noch ehe du zu hoffen wagtest, hattest du sie verloren, alle Stimmen, alle Töne waren verklungen, und nur die hoffnungslose Klage des Einsamen ächzte grauenvoll durch die düstre Einöde. - Du, Fremder! Unbekannter! hat dich je solch namenloser Schmerz zermalmt, so stimme ein in den trostlosen Jammer des ergrauten Mönchs, der in finstrier Zelle der Sonnenzeit seiner Liebe gedenkend, das harte Lager mit blutigen Tränen netzt, dessen bange Todesseufzer in stiller Nacht durch die düstren Klostergänge hallen. - Aber auch du, du mir im Innern Verwandter, auch du glaubst es, daß der Liebe höchste Seligkeit, die Erfüllung des Geheimnisses im Tode aufgeht.' 60

Despite the fact that on a superficial level the reflecting monk is talking about earthly love, it is clear that he has not reconciled himself to the impossibility of possessing the ideal. Hence Medardus talks of escaping

the ravages of dualism and not reconciling himself to dualism as a necessary part of existence. He talks only of a union with his ideal in death, 'das Weihfest der Liebe!'. Further evidence for Medardus' artistic failure is provided by the fact that he once again choses incarceration in the monastery over life in the outside world.

Following this interlude in the narrative present, Medardus returns to the telling of the tale. The power of feeling which floods through him appears unabated. Fuelled by the unfulfilment of his life up to this point, the mere thought of Aurelie raises sensuality to fever pitch:

'Hin zu ihr - hin zu ihr - sie an mich reißen in toller Liebeswut!- „Was widerstrebst du, Unselige! der Macht, die dich unauflöslich an mich gekettet? Bist du nicht mein! - mein immerdar?“...Überdem waren aller Augen auf Aurelien gerichtet, und so gelang es mir, im Kreise gleichgültiger Menschen mich zu drehen und zu wenden, ohne daß irgendeiner mich sonderlich bemerkt oder gar angeredet hätte, welches mir unerträglich gewesen sein würde, da ich nur sie, sehen - hören - denken wollte.' 61

Once again the interrelationship of events in the novel makes Medardus' reaction to Aurelie almost impossible to differentiate from the reaction of his ancestors, a fact compounded by the author's studious avoidance of any detailed character description.⁶² Indeed, Medardus' father's arrival at the court of the Duke could equally be the arrival of Medardus himself:

'Eben zu der Zeit, als unser Fürst sich vermählte, kam sein Bruder in Gesellschaft eines Mannes, den er Francesco nannte, unerachtet man wußte daß er ein Deutscher war'. 63

Medardus' mental state is, as we have seen, directly related to the degree to which he considers his life to be preordained. Belief in such a concept, however, means by definition that his feelings cannot be sinful. As a result, the greater the feeling of predestination, the less the feeling of sin.⁶⁴ The result, predictably, is another outbreak of schizophrenia and the beginning of his downfall at court, his increasingly curious behaviour lending credence to the accusations brought against him by Aurelie that he is in fact the monk Medardus.

Following his arrest, Medardus is brought to the prison where the mad monk, his 'Doppelgänger', is already imprisoned. It is in a cell in this prison which, as Dämmrich points out, closely resembles a monk's cell that he is incarcerated with his alter ego.⁶⁵ If, as in the case of the forest, the darkness of the cell is also a symbol for the unconscious, it now becomes clear that the polarities of consciousness and unconsciousness - the giant and the beast - must be united or at the least, co-exist within him if he is ever to escape from the cell again.

After his arrest, Medardus is interviewed by the prosecutor in a scene which can be interpreted as highlighting the extent to which seeing Aurelie again has caused Medardus' relapse. One cannot doubt that the healing process, ie. the path to becoming an artist, involves a number of relapses, but, paradoxically, it is this very scene with the prosecutor which also shows the extent

to which Medardus has progressed along the road to becoming an artist. The creativity employed in constructing a new persona for himself, using his experiences and insights which he fictitiously remodels, closely parallels that of authorial technique. Medardus has, however, still to realise that it is necessary to divorce himself from his imaginative constructs and create within himself a 'Schwebezustand' between the imaginative and the real if he is to become a successful artist. If this can be achieved, then the power of the elixirs, which rests on their ability to make the individual believe that he is what his imagination allows him to be, is negated.⁶⁶ As a result, when Medardus tells the judge his tale, his pride - which here can be interpreted as the sin of 'Hochmut' - is such that he once again believes his own fictional creation:

'Der Richter ließ sich den Fremden, dessen ich erwähnte, von Kopf bis zu Fuß beschreiben, und ich ermangelte nicht, die Figur mit aller nur möglichen Eigentümlichkeit aus der Gestalt des Grafen Viktorin und aus der meinigen auf der Flucht aus dem Schlosse des Barons F. geschickt zusammenzufügen. Nicht aufhören konnte der Richter, mich über die kleinsten Umstände dieser Begebenheit auszufragen, und indem ich alles befriedigend beantwortete, ründete sich das Bild davon so in meinem Innern, daß ich selbst daran glaubte'.⁶⁷

It is while he is incarcerated in the Duke's dungeon that the famous scene, when Medardus' alter ego breaks through the floor of his cell, takes place.⁶⁸ For the first time Medardus recognises the dark side of himself, his unconscious:

'Vier, fünf Steine lagen zur Seite weggeschleudert, da erhob sich plötzlich ein nackter Mensch bis an die Hüften aus der Tiefe empor und starrte mich gespenstisch an mit des Wahnsinns grinsendem, entsetzlichem Gelächter. Der volle Schein der Lampe fiel auf das Gesicht - ich erkannte mich selbst - mir vergingen die Sinne.' 69

Medardus recognises the duality of existence and the original sin of the fallen Adam. His immediate reaction to this shattering realisation is to take his own life and for the first time we find ourselves faced with the realisation that true redemption, spiritual union with the ideal, is only possible in death.

Once again, this insight is followed by a period of unconsciousness which, as has already been mentioned, closely resembles a trance. On awakening, rationalisation again takes place. Medardus explains away the events which have occurred since his leaving the monastery as nothing more than a nightmare.

Meeting Aurelie once again underlines the extent to which Medardus' adventures and thus the novel itself exists only as an imaginative exercise. The mere idea conjures up its concrete manifestation, the artistic work. Thus, the real event can no longer be separated from the psychic conception and representation of it; they both only exist within the fictionality of the work. No sooner does a sound remind Medardus of Aurelie than she appears incarnate before him. It is at this point that the narrating monk once again addresses the reader. He asks us to understand the feeling of love that welled up inside him at this time and asks us to accept the fact

that this love absolves him from all sin. Yet, at the same time we are told:

'auf wunderbare Weise keimte in mir die feste Überzeugung auf, daß nicht ich jener ruchlose Frevler aus dem Schlosse des Barons von F. war, der Euphemien - Hermogen erschlug, sondern, daß der wahnsinnige Mönch, den ich im Försterhause traf, die Tat begangen.' 70

At one and the same time, the reflecting Medardus is asking the reader to accept the fact that love absolved him and yet he has retreated, once again, into one-sidedness.

The power of the elixirs is once again in the ascendant and Medardus thinks that possession of the ideal is within his grasp. His conscience, however, can no longer be banished, the equation of the ideal, the 'heilige Rosalie', and its earthly manifestation, Aurelie, is no longer absolute: 'O du, fromme, hohe Heilige, darf sich denn irdische Liebe zu dir, im Herzen regen?'⁷¹ From this moment on his conscience plagues him at every attempt to possess physically his ideal in the form of Hermogen and his 'Doppelgänger'.

It is only on the day of his marriage to Aurelie that Medardus is once again confronted with his alter ego in the form of the mad monk. Immediately all his sins, as well as the cardinal sin he is about to commit, are brought home to him and he falls into a state of madness. Like Berthold in Die Jesuiterkirche in G. or Nathanael in Der Sandmann, his only thought is the destruction of the false idol. Failing in his attempt to kill Aurelie, he escapes into the forest where, in a scene definitively

interpreted by Reber , the 'Doppelgänger' leaps on to his back, symbolising the union of opposites.⁷²

The journey back and Medardus' ultimate failure as an artist

The motifs of religion and heredity in Die Elixiere des Teufels should not, as has already been suggested, be taken at face value. For Hoffmann they function as devices which facilitate the discussion of the problem of artistic representation and free will. With regard to the latter problem, it is clear that this is not, as Medardus' false consciousness tells him, determined by the workings of some omniscient and omnipresent external force, but rather is determined by the workings of the individual's mind through the collision of the conscious and the unconscious.

Medardus' reawakening after the union with his alter ego can be seen as another rebirth once again accompanied by the sound of bells. Not only is he psychically reborn, but the reader is asked to accept a geographic change of major dimensions without any narrative transition. Medardus is now in Italy, he has reached his geographic and mental destination:

'„Wo bin ich denn", rief ich voll Entzücken aus, „haben mich die Heiligen gewürdigt, in einem Himmelslande zu wohnen?" Der Geistliche lächelte wohlbehaglich indem er sprach: „Ihr seid in Italien, mein Bruder! in Italien!" ' 73

Once again he has been saved by Belcampo, the symbol of the artist's only possible mode of survival in a world in which he can never aspire to that which he is driven to achieve. Behind the veil of scurrility, self-

irony and conscious role-changing, the artist has the means of being creative, while at the same time retaining his sanity:

'„Pietro Belcampo heiße ich", unterbrach er mich in vollem Zorne: „ja Pietro Belcampo, hier in Italien, und du magst es nur wissen, Medardus, ich selbst. ich selbst bin die Narrheit, die ist überall hinter dir her, um deiner Vernunft beizustehen, und du magst es nun einsehen oder nicht, in der Narrheit findest du nur dein Heil, denn deine Vernunft ist ein höchst miserables Ding, und kann sich nicht aufrecht erhalten, sie taumelt hin und her wie ein gebrechliches Kind, und muß mit der Narrheit in Kompagnie treten, die hilft ihr auf und weiß den richtigen Weg zu finden nach der Heimat - das ist das Tollhaus, da sind wir beide richtig angelangt, mein Brüderchen Medardus... Ja, mein liebes Brüderchen. Die Narrheit erscheint auf Erden, wie die wahre Geisterkönigin. Die Vernunft ist nur ein träger Statthalter, der sich nie darum kümmert, was außer den Grenzen des Reichs vorgeht, der nur aus Langerweile auf dem Paradeplatz die Soldaten exerzieren läßt, die können nachher keinen ordentlichen Schuß tun, wenn der Feind eindringt von außen".' 74

Belcampo places scurrility almost alongside poetic imagination. 'Narrheit' becomes the 'Geisterkönigin' standing only below the 'Geisterkönig', whom we may remember as Lindhorst in Der goldne Topf, the symbol of the power of the imagination. The fact that Belcampo places scurrility so close to the imagination, one supporting the other fitting in closely as it does with Hoffmann's own theory of art, lends force to the view that this grotesque figure should be regarded as the novel's key character alongside the hero.

Continuing his discussion of artistic creativity Belcampo turns to the antithetical nature of consciousness and the unconscious:

'„Ei, ehrwürdiger Herr!" fuhr Schönfeld fort:
 „was haben Sie denn nun davon! ich meine von
 der besonderen Geistesfunktion, die man Bewußt-
 sein nennt, und die nichts anders ist, als die
 verfluchte Tätigkeit eines verdamnten Torein-
 nehmers - Akziseoffizianten - Oberkontroll-
 assistenten, der sein heilloses Comptoir im
 Oberstübchen aufgeschlagen hat, und zu aller
 Ware, die hinaus will! sagt: Hei ... hei ...
 die Ausfuhr ist verboten ... im Lande, im Lande
 bleibt's. - Die schönsten Juwelen werden wie
 schnöde Saatkörner in die Erde gesteckt, und
 was emporschießt sind höchstens Runkelrüben,
 aus denen die Praxis mit tausend Zentner schwerem
 Gewicht eine Viertel Unze übelgeschmeckenden
 Zucker preßt...".' 75

Siegbert Praver regards the statement by Belcampo as impor-
 tant as a result of its Freudian implications and the
 way in which it seems to pre-empt Freud. However, the
 importance of this quotation should rather be seen in
 the way in which it attempts to deal with the problem
 of artistic creativity.⁷⁶ Consciousness is seen by
 Belcampo as representing the sphere of the philistine,
 the sphere of the rationalist who represses anything with
 which his psyche cannot cope, refusing to accept the
 possibility that there are other things between heaven
 and earth. The consciousness towards which Medardus is
 striving is not this bourgeois consciousness, but rather
 a consciousness which is aware of the existence of the
 unconscious and as a result is aware of the duality
 of existence. To be creative it is necessary for the
 artist to be able to exploit the darker side of himself
 to be able to create works of art in the lighter side.

Medardus' reflection and subsequent opinion of
 such a theory shows that he has not yet become an

artist:

'„Das ist ja eben das Unglück ",erwiderte ich:
 „daß deinen Fratzten oft tiefer Sinn zum Grunde
 liegt, aber du verträdelst und verbrämst alles
 mit solch buntem Zeuge, daß ein guter, in echter
 Farbe gehaltener Gedanke, lächerlich und unschein-
 bar wird, wie ein, mit scheckigen Fetzen behängtes
 Kleid. - Du kannst, wie ein Betrunkener, nicht
 auf gerader Schnur gehen, du springst hinüber und
 herüber - deine Richtung ist schief!\".' 77

Medardus' criticism of Belcampo could of course equally be a criticism of Sterne's failure to narrate in a 'straight line'.⁷⁸ The kind of normality that Medardus is demanding is only possible as a result of the divorce of the ego and the super ego, consciousness and the unconscious. The 'in echter Farbe gehaltener Gedanke', as has been shown, cannot be retained; Belcampo's destruction of such insight is the only option left for the artist.

The majority of Hoffmann's artist heroes founder and evince signs of psychic breakdown because they are unable to control insight into the subconscious, attempting to portray this insight directly by means of its possession. It is a sobering thought, however, that where Anselmus and Nathanael fail, Belcampo manages to survive. The former fail as artists because, unable to come to terms with the discrepancy between everyday reality and their insights into an ideal state of existence, they retreat into insanity or Atlantis, the reverse sides of the same coin. Belcampo protects himself from such a fate by the use of scurrility as a shield and although he is judged insane by society, he nevertheless

retains his sanity, becoming the symbol of the wandering persecuted artist and providing us with an insight into the way Hoffmann probably regarded himself.

If we accept that Die Elixiere des Teufels is a 'Künstlerroman' and that Hoffmann's treatment of the artistic problem from a psychological perspective offers a key to the understanding of the novel, then Medardus' comments must be interpreted as a criticism of his own novel. Thus, the fictitious editor is following Schlegel's aesthetic demands, incorporating within the novel the criticism of the novel. Perhaps Die Elixiere des Teufels so often referred to as a flawed masterpiece, could be consciously flawed, a further exposition by Hoffmann on the theme of artistic failure.⁷⁹

Despite the fact that Medardus has come to accept the duality of existence and forsaken attempts to become a god on the wrong side of heaven, he still seeks to chastise himself for his duality. As a result he is regarded by the population of Rome as a saint. Far from helping Medardus in his recovery, the representatives of the established church deflect him from the realisation of the true nature of things. Thus, after awakening, the prior of the abbey where he is convalescing tells him that he is the tool of some transcendental power:

'Wisse, daß dein geheimnisvolles Leben mir in allen seinen wunderbarsten Verschlingungen besser bekannt worden, als dir selbst. - Ein Verhängnis, dem du nicht entrinnen konntest, gab dem Satan macht über dich, und indem du freveltest, warst du nur sein Werkzeug.' 80

Yet at the same time Medardus is also told that he is none the less guilty because of this:

'denn dir war die Kraft gegeben, im rüstigen Kampf den Satan zu bezwingen. In wessen Menschen Herz stürmt nicht der Böse, und widerstrebt dem Guten; aber ohne diesen Kampf gäb es keine Tugend, denn diese ist nur der Sieg des guten Prinzips über das böse'. 81

It appears that in the novel's discussion of good and evil and the degree of determinism in life, Hoffmann creates a considerable amount of confusion which may have played a part in his stating after the book's publication, that it had turned into something he had not intended.⁸² With some justification the reader is entitled to ask to what extent man can be guilty if he has no free will or freedom of action. Similarly if the victory of the good principle is preordained, wherein lies the struggle? As a result, the novel only makes sense if religion, God, Devil and free will are seen as devices to explicate the artistic problem. Looked at in this way, from a secular point of view, the 'Verhängnis' which Medardus could not escape is his artistic calling. Satan and the powers of darkness represent the unconscious. Sin is the failure to apprehend the duality of the world and the attempt to possess the ideal.

Medardus' conversation with the Pope continues the discussion of this problem and sheds further light on it. Despite the fact that the portrayal of the Pope is generally seen as totally negative, the arguments advanced by him are not only extremely secular, but also

of great interest. The battle between good and evil is placed firmly within the psyche and as a result is stripped of its metaphysical dimension. Slowly Medardus realises where the solution lies, not in conquering the unconscious but also not in surrendering to it. He must learn to accept its existence within himself. Finally the elixirs are seen for what they really are, the seductive power of the unconscious:

'Wie ein von giftigen Dünsten geschwängertes Wasser gab er Kraft dem bösen Keim, der in mir ruhete, daß er fortzuwuchern vermochte!' 83

But at the same time Medardus realises that sinning is not predestined either by heredity or the workings of some external power:

'Muß der vom Sünder Geborne wieder sündigen, vermöge des vererbten Organism, dann gibt es keine Sünde'. 84

Following his discussion with the Pope, Medardus meets Belcampo once again:

'Als ich eines Tages über den spanischen Platz ging, war ein Haufen Volks um den Kasten eines Puppenspieler versammelt. Ich vernahm Pulcinells komisches Gequäke und das wiehernde Gelächter der Menge. Der erste Akt war geendet, man bereitete sich auf den zweiten vor. Die kleine Decke flog auf, der junge David erschien mit seiner Schleuder und dem Sack voll Kieselsteinen. Unter possierlichen Bewegungen versprach er, daß nunmehr der ungeschlachte Riese Goliath ganz gewiß erschlagen und Israel errettet werden solle. Es ließ sich ein dumpfes Rauschen und Brummen hören. Der Riese Goliath stieg empor mit einem ungeheuern Kopfe. - Wie erstaunte ich, als ich auf den ersten Blick in dem Goliathskopf den närrischen Belcampo erkannte.' 85

Here a grotesque David defeats Goliath who, to use the Pope's terminology, incorporates within the one figure

both 'Tier' and 'Riese' . The show represents both a parody of the Pope's scientific theory as well as religious theory. For the artist to survive he must not fall prey to either the power of the unconscious or of consciousness. To maintain his sanity and his creativity he must perform a balancing act between the two with his eyes focussed always on the ideal.

It is upon his return to the monastery that Medardus finally realises that he will have to perform this balancing act to the end of his days, that there is no solution of the problem in life. After Aurelie's death Medardus is given his last penance by Leonardus, to write down his experiences, to represent insight, to fictionalise events so that the experiences themselves are fiction. That the battle within himself is never resolved is evident from the fiction and reinforced in the 'Nachtrag des Paters Spiridion' who hears Medardus struggling with the unconscious on his death bed.

After Medardus' death, Belcampo, so often Medardus' saviour, appears at the monastery, only this time he is too late. Whether Medardus' life-story can be described as an artistic success must remain doubtful. His return to the monastery in itself must militate against such an interpretation, for how can art flourish cut off from its material? Similarly, Medardus' only artistic work, his life-story, can also not be regarded as a success but rather as a chronicle of his increasing awareness of

artistic failure. Without scurrility and irony representation fails.

The true hero of Die Elixiere des Teufels, if there is one, is Belcampo, the 'Statthalter' of art and the power of the imagination, who, although he is said to have lapsed into insanity, represents the artist's only possible means of survival: to appear insane to the bourgeois and protect himself from the effects of the collision between the real and the ideal with the shield of scurrility. Belcampo did not find it necessary to hide in the synthetic world of the monastery, nor did he find it necessary to retreat into a serapiontic world of his own creation.

CHAPTER V

'DIE SERAPIONS-BRÜDER': DUALISM AS THE CONDITIO HUMANA

It has been the consistent aim of the preceding chapters to show that contrary to much of the generally received opinion, Hoffmann remained a Romantic throughout his creative life. We have also seen how some interpreters have sought to subdivide his work into periods.¹ The first of these periods is generally regarded as one in which Hoffmann's oeuvre was influenced by a wide-ranging conception of Romanticism determined in the main by music and finding its definitive exposition in the Fantasiestücke in Callots Manier. The second phase is seen as coinciding with Hoffmann's increasing interest in psychology and mesmerism which led to the publishing of the Nachtstücke and Die Elixiere des Teufels. With the cycle of tales grouped under the title Die Serapions-Brüder, we come to what proponents of what we shall call the 'phase theory' regard as a further shift in Hoffmann's world view and the first evidence of a shift towards Realism.

Die Serapions-Brüder was published in four volumes with volumes one and two being published in February 1819, volume three in October 1820 and volume four at Easter 1821. Die Serapions-Brüder was published with the sub-heading Gesammelte Erzählungen und Märchen. Herausgegeben von E.T.A. Hoffmann by Georg Reimer in Berlin.

We have already seen in the case of the Fantasie-

und Nachtstücke that the order of publication in the respective cycles is not synonymous with the chronological order of composition and first publication. It could be suggested, therefore, that this already undermines the theory of a change in world view evinced in these cycles. In the case of Die Serapions-Brüder this is doubly true, with a number of the tales included in this cycle dating back to the period of the Fantasie- und Nachtstücke. As in the case of Chapter III the treatment of the Die Serapions-Brüder in this chapter will be in the order they appear in the cycle rather than in the order of original publication. As suggested in Chapter I the reasons for this are that firstly it is unlikely that the ordering of the Fantasie- und Nachtstücke and Die Serapions-Brüder is random and secondly, in the case of the latter cycle, they are linked by a frame which was written at the time of the cycle's publication. As in the case of Chapter III, the original date of publication will be given for each of the tales discussed. This will be done in the interests of clarity and to further highlight how intact Hoffmann's Romantic 'Weltanschauung' remained.

What this chapter will show, therefore, is that Die Serapions-Brüder provides concrete evidence for the fact that Hoffmann remained a Romantic. In addition, it will show how Hoffmann's increasing expertise in writing Romantic tales is honed to a fine art.

H.A. Korff is an interpreter who claims to per-

ceive a shift in Hoffmann's aesthetics when he suggests that the underlying principles of the Fantasiestücke in Callots Manier are antithetical to those of Die Serapions-Brüder, seeing in the former the explication of a 'fantastic reality' and in the latter the 'real fantastic'.² As Ilse Winter has pointed out, however, both cycles deal essentially with the synthesis of reality and the world of the imagination, and, as a result, any differentiation on this level represents no more than word games.³ Thomas Cramer also claims to perceive an apparent antithesis between the two cycles:

'Callots-Manier von der Verzerrung ausgehend, und diese-als Prinzip der Erkenntnis-zum Zeichen einer höheren Harmonie setzend, das ,Serapiontische Prinzip' von der Wirklichkeit ausgehend und gegen diese- als Prinzip poetischen Schaffens- eine neue Wirklichkeit setzend auf der Suche nach der verlorenen Einheit.' 4

Finally, we have Johannes Klein, who contrasts the serapiontic technique with that of the 'Eckfensterprinzip' which, in his opinion, truly represents Hoffmann's drift towards Realism.⁵ We can thus see that whether we agree with such a strict demarcation of Hoffmann's oeuvre or not, a number of eminent interpreters consider the world view as espoused in Die Serapions-Brüder to represent a key to Hoffmann's development as a writer.

A problem none of the proponents of the 'phase theory' appear to deal with, however, is the cardinal problem of the date of composition. One fact remains: the stories were written in the period 1813 - 1819 and therefore stretch right back to the beginnings of Hoffmann's career as a writer. As a result, as Segebrecht has pointed

out, if Hoffmann felt able to group stories written over a period of six years in the cycle of tales under discussion, then it is unlikely, to say the least, that the serapiontic principle represents something completely new and which had not already functioned as a guide line for his creative writing prior to the publication of Die Serapions-Brüder.⁶ As a result, if anything new is to be discerned, it should be in the frame, and yet even here we can find nothing that has not been espoused - if not quite as clearly - in other tales.

What the cycle deals with above all else is the problem of world dualism and artistic creativeness with which we are already familiar from the discussion of the tales in the previous chapters. As a result, the discussions contained in the frame linking the stories deal with the means by which the artist can construct his inner visions syntactically, which then in turn, via transmutation by the reader, are turned into three-dimensional images.

The idea for the frame was probably suggested to Hoffmann as a result of his reading Tieck's Phantasmus which he admired greatly:

'Eben diese Form wird - muß an Ludwig Tiecks Phantasmus erinnern. Wie sehr würde der Herausgeber aber bei dem Vergleich beider Werke verlieren!' 7

Hoffmann's preoccupation with Tieck's Phantasmus about this time can also be seen by the influence it had on Das Fremde Kind which was written in the autumn of 1817.⁸

The frame consists of discussions about writing and artistic creativity amongst a group of friends and as Hoffmann actually took part in similar discussions with friends of his in Berlin, many attempts have been made to identify the fictional characters of the frame.⁹ While this is of a general historical interest, it would seem a futile and indeed sterile enterprise to spend time on something which brings us no closer to the understanding of the works in hand, unless one wishes to posit a causal relationship between the real world of Hoffmann and the fictional world of his characters. As to which character represents Hoffmann a consensus appears to have been reached that both Cyprian and Theodor speak for Hoffmann.¹⁰

The tale which gives the cycle its name and around which it is constructed is Der Einsiedler Serapion.¹¹ Written in 1818, the tale is narrated by Cyprian and deals with a man for whom the dictates of time and space are no longer an existential problem. No longer Graf P** living in B***, he has convinced himself that he is Serapion, a saint who was quartered in the reign of the Emperor Decius in Alexandria.

The story, which begins on page 17, is prefaced by an anecdote, also told by Cyprian. This tells of two Kantian scholars so engrossed in their theories that they are able to continue an argument after an interval of twenty years without either being aware that time has, in the interim, passed them by. The anecdote is double-

edged, for not only can it be applied to the brethren themselves, who have to realise that they are subject to the dictates of time and space and that they are no longer the men they were, but it is also an implicit criticism of Serapion's standpoint, which also fails to take account of the effects of the real world on the individual. The fact that the two scholars can take up again where they left off shows that no progress has been made, everything has remained cerebral. In the case of the artist this would mean artistic sterility like that of Gluck. Events in the real world channel creativity:

'Ja freilich sind wir alle nicht mehr dieselben! Daß wir zwölf Jahre älter worden, daß sich wohl mit jedem Jahr immer mehr und mehr Erde an uns ansetzt, die uns hinabzieht aus der luftigen Region, bis wir am Ende unter die Erde kommen, das will ich gar nicht in Anschlag bringen. Aber wen von uns hat indessen nicht der wilde Strudel von Ereignis zu Ereignis, ja von Tat zu Tat fortgerissen? Konnte denn alles Schrecken, alles Entsetzen, alles Ungeheure der Zeit an uns vorübergehen ohne uns gewaltig zu erfassen, ohne tief in unser Inneres hinein seine blutige Spur einzugraben?' 12

While one cannot disregard the passing of time and the degree to which this time provides the material of representation, the brethren must also have an 'innere Gesinnung' which unites them. It is because of this bond between them, while at the same time being conscious of phenomenal events, that the imagination can flourish and the artist can be creative. From the beginning, dualism is posited as an inescapable human condition, posited even before the tale of Serapion begins.

It is at first sight curious that, given the belief of the 'Serapions-Brüder' that world dualism and the perception of it is a necessary prerequisite for the aspiring artist, they should choose Serapion as their patron saint. It is after all, Serapion who has clearly given up any attempt to comprehend and come to terms with the antithesis of the real and the ideal. This problem is resolved if we conceive of Serapion as the personification of the power of the imagination. His very existence in the phenomenal sphere, therefore, becomes the symbol of the artist's attempt to reconcile the creative power of the imagination with the prosaic world of everyday necessity.

Like Lindhorst in Der goldne Topf, he exists as a pure concept. The imagination becomes destructive only when the less than perfect human being attempts to reside only in the world of fantasy. Serapion is of course a man, but for the purposes of the narrative and the brethren he is a symbol or concept. Thus, when Serapion tells Cyprian,

'Sie mögen.... das unglaublich finden und ich gestehe ein, daß es manchem der nicht weiter zu schauen vermag, als eben seine Nase reicht, sehr wunderbar klingen muß, allein es ist nun einmal so', 13

it is not mere chance that his words so closely resemble those of Lindhorst when he attempts to tell bourgeois citizens such as Heerbrand about Atlantis.¹⁴

As an artist Serapion is a failure and, as Negus has pointed out, it is frequently overlooked that

he is in fact an artist.¹⁵ But, to reiterate once again, the fact that he has become the patron saint of the 'Serapions-Brüder', their model, has nothing to do with his relative failure or success as an artist. They realise only too well that such an 'Atlantis' is not and cannot be for them, they will have to be satisfied, like the narrator of Der goldne Topf with a poetic 'Meierhof', and yet Serapion's words convey the very essence of poetic creativity:

'Viele haben das auch unglaublich gefunden und gemeint, ich bilde mir nur ein, das vor mir im äußern Leben wirklich sich ereignen zu sehen was sich nur als Geburt meines Geistes, meiner Fantasie gestalte. Ich halte dies nun für eine der spitzfündigsten Albernheiten die es geben kann. Ist es nicht der Geist allein, der das was sich um uns her begibt in Raum und Zeit, zu erfassen vermag? - Ja was hört, was sieht, was fühlt in uns? - vielleicht die toten Maschinen die wir Auge - Ohr - Hand etc. nennen und nicht der Geist? Gestaltet sich nun etwa der Geist seine in Raum und Zeit bedingte Welt im Innern auf eigne Hand und überläßt jene Funktionen einem andern uns inwohnenden Prinzip? - Wie ungereimt! Ist es nun also der Geist allein, der die Begebenheit vor uns erfaßt, so hat sich das auch wirklich begeben was er dafür anerkennt.' 16

Cyprian's criticism of Serapion is, however, that it is his inability to perceive the essence of insight, which leads to the attempt to make the creations of his imagination his own. He compartmentalises them and then uses these very creations to blank out the perception of the everyday world. But again this criticism should not be understood as a criticism of Serapion the symbol of poetic imagination, but rather of Serapion the failed poet. As a result, we see that Serapion, who is frequently interpreted only as a symbol for the power of the imagination, also has another side, and therefore we even find dualities in one

who is under the illusion that he has transcended world dualism.

Like Gluck, Serapion is capable of artistic creativity but is incapable of representation. He is a man who can do nothing unless inspired, but unlike the true artist, these inspirations are either exclusively mental or at best of an oral nature and thus dependent on him, they never concretise themselves as independent manifestations of the imaginative process. Thus, despite the fact that Cyprian thinks these creations are those of a highly gifted poet, the creations themselves are still born:

'Alle Gestalten traten mit einer plastischen Ründung, mit einem glühenden Leben hervor, daß man fortgerissen, bestrickt von magischer Gewalt wie im Traum daran glauben mußte, daß Serapion alles selbst wirklich von seinem Berge erschaut.' 17

It is soon after this that Cyprian's tale is interrupted and another story told. We have already suggested that Hoffmann's tales can supplement one another with one story casting additional light and creating new perspectives on another.¹⁸ In many respects Rat Krespel can almost be regarded as a continuation of Serapion's tale, not only because in terms of their narrative structure they flow into one another with barely a break, but because it offers additional information on it.

While Der Einsiedler Serapion was written for volume I of Die Serapions-Brüder, Rat Krespel was

completed in 1816 and was first published in the Frauen-Taschenbuch für das Jahr 1818.¹⁹ Despite this, however, as a result of the structure of the frame in Die Serapions-Brüder, Hoffmann skilfully links the two tales. The fact that Hoffmann feels able to do this with two stories separated by two years also underlines the extent to which Hoffmann's world view does not undergo any major change in this period.

Rat Krespel represents the complete antithesis of Serapion. He too, is an artist, but this is where any similarity between the two ends. Whereas Serapion has managed to escape from the dictates of world dualism by renouncing the 'real world' and thus failing as an artist, Krespel's failure lies in the fact that he is so plagued by the irreconcilable conflict between the real and the ideal that he loses the ability of harnessing his imagination. He can no longer transcend the earthly sphere as a result of insight into a higher sphere:

'Was bei uns Gedanke bleibt, wird dem Krespel alles zur Tat. - Den bitteren Hohn, wie der, in das irdische Tun und Treiben eingeschachtete Geist ihn wohl oft bei der Hand hat, führt Krespel aus in tollen Gebärden und geschickten Hasensprüngen. Das ist aber sein Blitzableiter. Was aus der Erde steigt, gibt er wieder der Erde,'²⁰

For Serapion the thought has also become the deed, but this has enabled him to live in his own world. For Krespel the problem is the same as for Medardus in Die Elixiere des Teufels; although the thought has become the deed for both of them they are still acutely aware

of the dictates of the real world and as a result suffer the inevitable disintegration of personality. As Segebrecht points out, Krespel fails as an artist because he is so aware of world dualism that he can no longer be artistically creative. Instead he seeks the nature and essence of art by dissecting the violins of the great masters. It is only after the death of his daughter Antonie that he realises that she was the earthly incarnation of what he had been seeking:

'Die Befreiung für Krespel durch den Tod seiner Tochter kommt zu spät. Die Erkenntnis hat sich von ihrem Ziel, der Musik, gelöst, die ihm nun für immer genommen ist.' 21

Theodor's story therefore presents us with the second of the two extremes of artistic failure.

It is only now that Serapion can be placed in any kind of perspective and we see him clearly as a symbol of the imagination and the power of the imagination. As a final postscript, we learn that although, like any mortal man, Serapion has finally lost to time and has died, he in a way transcends even this final reckoning by dying on the same day as the man his imagination had convinced him he had become.

The extent to which Serapion has changed from mad hermit into a poetic symbol is summed up by Lothar, always the most sceptical and rational of the brethren:

'„Überhaupt“, fuhr nun Lothar fort, „bin ich jetzt.... nachdem mich Theodor mit dem häßlichen widrigen Krespel recht in Harnisch gebracht hat, mit Cyprians Serapion ganz ausgesöhnt. Noch mehr als das: ich verehere Serapions Wahn-

sinn deshalb, weil nur der Geist des vortrefflichsten oder vielmehr des wahren Dichters von ihm ergriffen werden kann.' 22

Not only has the tale Rat Krespel allowed Lothar to comprehend why Serapion is so important but we are told that what he admires in him is his insanity, in other words Serapion's imagination. When Lothar continues and says ,

'Dein Einsiedler, mein Cyprianus, war ein wahrhafter Dichter, er hatte das wirklich geschaut was er verkündete'. 23

he means that Serapion has attained the first prerequisite of being a poet, having 'seen' what one is attempting to describe, however, Serapion, like Gluck, can find no way back from the sphere of dreams:

'Armer Serapion, worin bestand dein Wahnsinn anders, als daß irgendein feindlicher Stern dir die Erkenntnis der Duplizität geraubt hatte, von der eigentlich allein unser irdisches Sein bedingt ist. Es gibt eine innere Welt, und die geistige Kraft, sie in voller Klarheit, in dem vollendetsten Glanze des regesten Lebens zu schauen, aber es ist unser irdisches Erbteil, daß eben die Außenwelt in der wir eingeschachtet, als der Hebel wirkt, der jene Kraft in Bewegung setzt. Die innern Erscheinungen gehen auf in dem Kreise, den die äußeren um uns bilden und den der Geist nur zu überfliegen vermag in dunklen geheimnisvollen Ahnungen, die sich nie zum deutlichen Bilde gestalten.' 24

The artist must realise that his works can only be created as a result of levers, found in the external world, which actuate the imagination, as a result he must never lose sight of the world's inherent dualism. Similarly, he must not allow this very duality to blind him to the essential faculty of insight by means of which the artist can fly and return to tell the tale.

It is the lot of the artist that he must tread the perilous path between the two extreme modes of existence, a path that is destructive for so many of Hoffmann's artist figures.

The first two tales of Die Serapions-Brüder therefore set out in 'dürftigen Zügen', to use Lindhorst's words, Hoffmann's aesthetics, an aesthetics that remains stable and is further explicated in Hoffmann's organization of the cycle of tales. If, as we know, Hoffmann considers the real world as important in so far as it provides the levers which set off the workings of the imagination, then it would be foolish to assume that no new elements appear in his works. With increasing age and experience, Hoffmann finds new levers and at the same time new ways of expressing his views on the function of art. In Die Serapions-Brüder, therefore, we find new levers along with the tried and trusted ones.

What Der Einsiedler Serapion and Rat Krespel posit in the first fifty pages of the cycle is a dualistic world in which the artist is forced to choose between the disintegration of the personality suffered by Medardus, Nathanael and Krespel or retreat into a world of the pure imagination like Anselmus or Serapion, or is there an alternative? We have already seen that there is sufficient evidence to cast serious doubt on whether Anselmus' retreat into Atlantis can be regarded as the correct path for the artist to follow. This merely represents

another version of Gluck's 'dreaming away the dream in the realm of dreams'. Also, in Der goldne Topf we learn that the narrator realises that he can never reside in this sphere permanently, having to content himself with brief forays into this realm; and yet, if one looks at Hoffmann's tales as a whole, one fact is consistent: the only true artist amongst Hoffmann's heroes is the narrator himself, who manages to combine insight with creativity. Similarly, the inner fragmentation of Medardus is not a solution, and yet again, as we have seen in Chapter IV, it is not Medardus who achieves the status of artist in the novel; his chronicle remains flawed and incomplete, it is the fictitious editor whom Hoffmann allows to complete the work. The true artist is always at the mercy of dualism and therefore always runs the risk of fragmentation and intellectual hibernation, and yet the 'Schwebezustand' is the conditio humana, and the only true artist is the truly creative artist.

Immediately following the two stories discussed above is Die Fermate. As a result of the adoption of Serapion as their patron saint, we would normally expect the tale to exemplify the 'newly acquired' 'Serapiontisches prinzip' and yet in answer to Lothar's demand for a story that does justice to their new patron, Theodor answers that they should not judge his work too harshly

'da mein Werklein nur auf die Bedingnisse eines leichten, luftigen, scherzhaften Gebildes basiert ist und keine höhere Ansprüche macht als für den Moment zu belustigen.' 25

Yet we can hardly take Theodor seriously here, for what are the principles that should be followed here other than that the poet must have seen that which he is seeking to portray, that it must attempt to recreate this process of 'schauen' with such plasticity that it can engender this ability in the reader and that finally it must be anchored in the real world. As Lothar says to his fellow brethren:

'Es kann nicht fehlen, daß wir, einer dem andern nach alter Weise manches poetische Produktlein, das wir unter dem Herzen getragen mitteilen werden. Laßt uns nun dabei des Einsiedlers Serapion eingedenk sein! - Jeder prüfe wohl, ob er auch wirklich das geschaut, was er zu verkünden unternommen, ehe er es wagt laut damit zu werden. Wenigstens strebe jeder recht ernstlich darnach, das Bild, das ihm im Innern aufgegangen recht zu erfassen mit allen seinen Gestalten, Farben, Lichtern und Schatten, und dann, wenn er sich recht entzündet davon fühlt, die Darstellung ins äußere Leben (zu) tragen.' 26

From Lothar's definition of a 'serapiontic' work of art it is safe to say that Theodor's excuses that he is only following the guide lines of the pleasure principle is ironical. Perhaps, however, there is another level of irony here. Hoffmann wrote Die Fermate in 1815 and it was first published in the Frauentaschenbuch für das Jahr 1816, so he has been carrying this work 'beneath his heart' for quite a while, and yet it still manages to accord with the 'Serapiontisches Prinzip'.²⁷

The story itself begins with two friends, Eduard and Theodor, standing in front of a painting by Hummel. That this painting conforms to Hoffmann's and Serapion's

criteria of a true work of art is instantly apparent as its plasticity makes Eduard feel that he could actually step into the painting. However, Theodor's reaction marks out the painting as an exceptional work of art as it awakens insight in him causing his imaginative processes to be activated:

'Du wirst mir aber zugestehen, daß auch heitere Erinnerungen dann den Geist gar seltsam zu erschüttern vermögen, wenn sie auf solche ganz unerwartete ungewöhnliche Weise plötzlich wie durch einen Zauberschlag geweckt, hervorspringen.' 28

The second serapiontic principle of having actually seen what one is about to narrate is thus concretised by the fact that a situation is created in which the fictional character has experienced what he is about to portray verbally and extemporises on it. As a result, although the story was written long before the discussion about Serapion, it conforms to an uncanny degree to the serapiontic criteria, again casting doubt on whether the principle represents something completely new in his world view. Over and above this, the fact that 'heitere Erinnerungen' can ignite insight casts serious doubt on the opinion that Hoffmann progresses from a period in which he wrote the Fantasiestücke to one in which he was only concerned with the darker side of nature if we bear in mind that Die Fermate was written at a time when Hoffmann was supposedly immersing himself in the 'Nachtseiten'.

The tale that Theodor now narrates is about an

infatuation with two Italian singers in his youth and the subsequent discovery, on meeting them again fourteen years later, that time has ravaged the ideal. The external manifestation of the ideal no longer bears any relationship to the internalised vision he has carried within himself. Even their voices, which he realises have not changed markedly, no longer have the same effect on him. Eduard's subsequent comment sums up the function of the two sisters for Theodor, making any further comment unnecessary:

'„Und doch," sprach Eduard: „hast du ihnen das Erwachen deines innern Gesanges zu verdanken"', a sentiment with which Theodor agrees when he answers:

'Jeder Komponist erinnert sich wohl eines mächtigen Eindrucks, den die Zeit nicht vernichtet. Der im Ton lebende Geist sprach und das war das Schöpfungswort, welches urplötzlich den ihm verwandten im Innern ruhenden Geist weckte; mächtig strahlte er hervor und konnte nie mehr untergehen. Gewiß ist es, daß, so angeregt, alle Melodien die aus dem Innern hervorgehen, uns nur der Sängerin zu gehören scheinen, die den ersten Funken in uns warf. Wir hören sie und schreiben es nur auf, was sie gesungen. Es ist aber das Erbteil von uns Schwachen, daß wir, an der Erdscholle klebend, so gern das Überirdische hinabziehen wollen in die irdische ärmliche Beengtheit. So wird die Sängerin unsere Geliebte - wohl gar unsere Frau! - Der Zauber ist vernichtet und die innere Melodie, sonst herrliches verkündend, wird zur Klage über eine zerbrochene Suppenschüssel oder einen Tintenfleck in neuer Wäsche.' 29

Additional criteria required by the artist are mentioned in the discussion between the brethren about the admittance of a new member in section two of the first volume. The applicant is finally rejected as a result of Ottmar's fierce opposition. Ottmar, in true Romantic fashion, finds his rationalism unacceptable:

'Du nennest Leander verständig, geistreich, witzig, er ist das alles, ja noch mehr! - Alles was er produziert, hat eine gewisse Ründe und Vollendung, die von gesunder Kritik, scharfsinnigem Urteil zeigt! - Aber! - Fürs erste, denk ich, kann niemanden weniger unser serapiontisches Prinzip inwohnen als eben unserm Leander. Alles was er schafft, hat er gedacht, reiflich überlegt, erwogen, aber nicht wirklich geschaut. Der Verstand beherrscht nicht die Fantasie, sondern drängt sich an ihre Stelle.' 30

The literary club is clearly not for all writers, however good, it is only for Romantic writers.

The necessity of having 'seen' what one is attempting to portray is what paradoxically marks off the Romantic writer from the Realist. It is this 'schauen', which is not 'sehen', which helps the writer to render his visions three-dimensionally, in turn involving the reader, which involves another cornerstone of Hoffmann's poetic technique. It is for this reason that time and geographic location are so clearly defined in the fairy tales. Part and parcel of this attempt to stimulate the reader's imagination is the technique of introducing a fictive narrator whose task it is to mediate between and therefore break down the barrier between the world of the fictional character and the world of the reader.

Der Artushof was written in 1815 and was first published in Urania 1817. With its inclusion in Die Serapions-Brüder, Hoffmann integrates a perfect example of his use of the narrator into the aesthetics espoused in the cycle under discussion. The tale begins with the narrator directly addressing the reader. Not only

does the narrator presuppose that the reader will know something about Danzig, the geographic location of the story, but he wishes he had seen the Artushof with his own eyes:

'Vielleicht kennst du all das Sehenswerte, was sich dort befindet, aus mancher Beschreibung; am liebsten sollt es mir aber sein, wenn du selbst einmal in früherer Zeit dort gewesen wärest, und mit eigenen Augen den wunderbaren Saal geschaut hättest, in den ich jetzt dich führen will.' 31

From the narrator's promise to take the reader to the Artushof it is only a short step to the assumption that he is there. The poet's imagination has the power to transport the reader if he wishes to go:

'Aber wenn die Börsenstunden vorüber, wenn die Handelsherren bei Tische saßen, und nur einzelne geschäftig durch den Saal, der als Durchgang zwei Straßen verbindet, liefen, dann besuchtest du, günstiger Leser, der du in Danzig warst, den Artushof wohl am liebsten.' 32

It is here that we meet the hero of the story, a young man with artistic pretensions called Traugott who, like Anselmus, is training for a career which can only have the withering of artistic inspiration as its end result. It is at the exact moment that the reader is made aware of Traugott that he looks up, suddenly becoming aware of a painting hanging on the wall. This painting has such a marked effect on young Traugott, that it will transform his life. To the thousands of people who have presumably noticed the painting before, there is nothing special about it, merely a man dressed in black leading a horse being ridden by a youth. It

is the sight of the youth, however, that engenders insight in Traugott:

'die Gestalt, das Gesicht des Mannes erregten dem Traugott innern Schauer, aber aus dem Gesichte des holden Jünglings strahlte ihm eine ganze Welt süßer Ahnungen entgegen'. 33

Like Anselmus' first contact with Serpentina in Der goldne Topf, the world of the imagination and of art has broken through into Traugott's conscious world.

As the poet's imagination can transport the reader into the Artushof, so Traugott's very perception of the painting on the wall causes it to come to life. The man in black only just apprehended in the painting is suddenly in Traugott's conscious, prosaic, everyday world and tells him that his random doodles on a bank draft show artistic promise. For the first time Traugott feels he has found his true calling, that there is more to life than writing out drafts.

Traugott's employer is again familiar to us, he is the stolid, unimaginative bourgeois that we come across in so many of Hoffmann's tales. It is a curious fact that although character description of such philistines is usually extremely sketchy, we feel that we know Paulmann and Tusmann and of course Herr Elias Roos so well. The narrator tells us,

'Daß Herr Elias Roos eine runde Perücke trägt, weißt du günstiger Leser! schon aus obigem, und ich darf auch gar nichts mehr hinzusetzen, denn nach dem was er gesprochen, siehst du jetzt schon den kleinen rundlichen Mann in seinem leberfarbenen Rocke, Weste und Hosen mit goldbesponnenen Knöpfen recht vor Augen'. 34

Maurice Raraty has traced Hoffmann's interest in and admiration of the technique of the 'ombres chinoises' which in part goes some way towards explaining Hoffmann's sparse character descriptions:

'Alles Überflüssige bei der Dekoration und den Schauspielern wird abgeschafft. Der Zuschauer, der zudem von seinen Nachbarn gar nicht gestört wird, weil alles verdunkelt, und seine Aufmerksamkeit auf hypnotische Weise völlig auf den strahlenden Schirm mitten in der Dunkelheit gerichtet ist, hat nur den bloßen Umriß der Charaktere und der Szenen vor sich; die Einzelheiten muß er alle selbst einfügen.' 35

Although Raraty is clearly talking about the theatre, it is likely that Hoffmann also applied this to his literary works. Hoffmann was probably attracted to the silhouette because he considered that some characters did not require accurate delineation, indeed that a too detailed description could detract from the overall effect. Provided with only the barest outlines, the imagination of the reader is called into play. We have all seen the characters that Hoffmann is talking about and as a result these characters become symbols of modes of existence.

About the hero of the story, we are provided with more detail,

'weil es eben seine Geschichte ist, die ich erzähle, er also wirklich darin vorkommt. Ist es aber nun gewiß, daß Gesinnung, Tun und Treiben aus dem Innern heraustretend, so die äußere Gestalt modeln und formen, daß daraus die wunderbare nicht zu erklärende nur zu fühlende Harmonie des Ganzen entsteht, die wir Charakter nennen, so wird dir, günstiger Leser! aus meinen Worten Traugotts Gestalt von selbst recht lebendig hervorgehen. Ist dies nicht der Fall, so taugt all mein Geschwätz gar nichts, und du kannst

meine Erzählung nur geradezu für nicht gelesen
achten.' 36

Minor characters, therefore, do not require detailed description because the reader has seen them before. After being provided with a rough outline the reader can complete the picture for himself. The description of the hero is more complex because, as the narrator tells us, what we are dealing with is not a description of his external features. What the description involves is the summation of the internal drives which are externalised in his character and to appreciate these, the reader will have to 'see'. Thus, in a way, it could almost be said that the hero is the externalisation of the artist's imagination. Implicit in this is the fact that the attempt is made to put more across to the reader than is contained in the sum total of the description by awakening the imaginative process in the reader who then becomes an active participant in the creative process. Should this not happen, the narrator tells us to forget about his tale as it would be an artistic failure.

After his first insight into the creative process, Traugott, like Anselmus before him, is completely disoriented by the flood of mixed emotions that suddenly seem to invade his previously ordered life. Aspects of his life and his aspirations, which had previously seemed desirable or unavoidable, his forthcoming marriage, his career recede in the face of this upswell of feelings. Only half comprehended feelings and yearnings are suddenly

actualised. In an attempt to explain these desires and emotions in Traugott the narrator tells us:

'Jener Professor physices meinte: der Weltgeist habe als ein wackrer Experimentalist irgendwo eine tüchtige Elektrisiermaschine gebaut, und von ihr aus liefen gar geheimnisvolle Drähte durchs Leben, die umschlichen und umgingen wir nun bestmöglichst, aber in irgendeinem Moment müßten wir darauftreten, und Blitz und Schlag führen durch unser Inneres, in dem sich nun plötzlich alles anders gestalte. Auf den Draht war wohl Traugott getreten, in dem Moment als er bewußtlos die zeichnete, welche lebendig hinter ihm standen, denn mit Blitzes Gewalt hatte ihn die seltsame Erscheinung der Fremden durchzuckt, und es war ihm, als wisse er nun alles deutlich, was sonst nur Ahnung und Traum gewesen'. 37

Now that the vision is in control again it will never relinquish its hold on him, his life will from now on be filled with 'tiefsten, wehmütigsten Sehnsucht', pure Romantic yearning. As the narrator informs us once again:

'Glaubst du nicht, lieber Leser! daß das was aus dem höhern Reich der Liebe in unsre Brust hinabgekommen, sich uns zuerst offenbaren müsse im hoffnungslosen Schmerz? - Das sind die Zweifel die in des Künstlers Gemüt stürmen. - Er schaut das Ideal und fühlt die Ohnmacht es zu erfassen, es entflieht, meint er, unwiederbringlich. - Aber dann kommt ihm wieder ein göttlicher Mut, er kämpft und ringt, und die Verzweiflung löst sich auf in süßes Sehnen, das ihn stärkt und antreibt, immer nachzustreben der Geliebten, die er immer näher und näher erblickt, ohne sie jemals zu erreichen.' 38

The narrator thus supplies us with a synopsis of the tale, once again pre-empting the content. Traugott has perceived the ideal and is driven on by the desire to possess. The reader, however, already knows that this is an impossibility and that all the young artist can aspire to is the occasional glimpse of the ideal which

he can then attempt to represent in such a way that the representation itself does not attempt to portray the ideal but rather allows the residual memory of the ideal to produce a work of art which creates the preconditions for further insight.

Not suprisingly, given the proximity of composition, there is no discernible shift in Hoffmann's world view in Der goldne Topf and Der Artushof. The point that should be borne in mind, however, is that Hoffmann still felt able to include the tale in Die Serapions-Brüder and the way in which it fits in with the other tales both in terms of content and structure. If one can speak of a development in Hoffmann's aesthetics it is a result of the reworking of the same basic theme. This development manifests itself in a progressive downgrading of the central characters in the interests of the poetic message. They become ciphers with which the narrator consciously plays in an attempt to convey this message. The message, with increasing familiarity with Hoffmann's characters, is perceived in the work's structure in which the characters pass through pre-ordained orbits, like planets in a fixed constellation.

Traugott has to face the trauma of the realisation that the ideal 'seen' in the painting has a human face:

'Ach sie ist es ja, die Geliebte meiner Seele,
die ich so lange im Herzen trug, die ich nur
in Ahnungen erkannte! - wo - wo ist sie!' 39

Ultimately, Felizitas turns out to be as negative and

shallow as Veronika and Clara, she too settles for 'häusliches Glück', but for Traugott the realisation has come that the human face of the ideal is not, and never can be, synonymous with the internalised vision of the ideal itself:

'Nein, nein, Felizitas, nie habe ich dich verloren, du bleibst mein immerdar, denn du selbst bist ja die schaffende Kunst, die in mir lebt. Nun - nun erst habe ich dich erkannt. Was hast du, was habe ich mit der Kriminalrätin Mathesius zu schaffen!' 40

Traugott escapes and attempts to become an artist accepting life's dualism and the unattainability of the ideal. The first volume of Die Serapions-Brüder, therefore, reiterates all the problems with which we are already conversant and which received their intellectual underpinning as a result of his acquaintance with the works of the Idealist philosophers and psychologists. The artist must avoid the temptation to forsake the real world and the seduction of the imagination.⁴¹ At the same time he must attempt to avoid psychic fragmentation as a result of the failure to come to terms with the impossibility of retaining the ideal. Again we are reminded of the words of Berthold in Die Jesuiterkirche in G.:

'Aber Herr! - wenn man nach dem Höchsten strebt... das Höchste der göttlichen Natur, der Prometheus-funken im Menschen - Herr! - es ist eine Klippe - ein schmaler Strich, auf dem man steht - der Abgrund ist offen!' 42

After Die Bergwerke zu Falun, written between 1818 and 1819, Cyprian makes the dangers enunciated by Berthold explicit when he tells the brethren:

'Wie oft stellten Dichter Menschen, welche auf irgendeine entsetzliche Weise untergehen, als im ganzen Leben mit sich entzweit, als von finstren

Mächten befangen dar. Dies hat Theodor auch getan, und mich wenigstens spricht dies immer deshalb an, weil ich meine, daß es tief in der Natur begründet ist. Ich habe Menschen gekannt, die sich plötzlich im ganzen Wesen veränderten, die entweder in sich hinein erstarrten oder wie von bösen Mächten rastlos verfolgt, in steter Unruhe umhergetrieben wurden und die bald dieses, bald jenes entsetzliche Ereignis aus dem Leben fortriß.' 43

Thus, Die Serapions-Brüder makes concrete in the aesthetic discussion of the frame that which had previously only been enunciated in the fiction of the tales.

The second volume of the cycle begins with the discussion about the possible admittance of two new members to the circle. The interesting question for the purposes of the discussion in hand is not who these members are but whether they introduce any new concepts to the poetic theory established in volume one. Of the first of the two, Sylvester, Ottmar says that many have accused him of writing too little, but that he insists on only writing about things he has actually experienced or seen. The fact that he does not produce much, however, is not regarded as a valid criticism as, in Ottmar's opinion, many writers produce too much.⁴⁴ The sixth member, introduced by Lothar, is the complete antithesis of Sylvester. Vinzenz is full of 'witziger schalkischer Keckheit'.⁴⁵ The final ingredient, irony, is now introduced with Vinzenz's membership. Thus an antidote is supplied for the dangers besetting the artist enunciated above. It is possible as a result of the membership of Sylvester and Vinzenz to venture the conclusion that each of the

brethren represents a facet of character which the Romantic poet should ideally possess, while it is their admixture which determines the artist's individuality.⁴⁶

The first tale of the second volume, told by Cyprian, is concerned with a truly Romantic theme. Der Kampf der Snger was completed in 1818 and was first published in Urania in 1819 and deals with the power of the imagination which, as we have seen, is a theme central to Hoffmann's aesthetics. This time we are not in Berlin, Dresden or some other precisely defined geographical location in the writer's or narrator's present, but rather in that most Romantic of periods, the Middle Ages. In addition, the hero of the story is a certain Heinrich von Ofterdingen, familiar to us from Novalis' novel of the same name. There the similarity ends; while in Heinrich von Ofterdingen the hero undergoes a form of 'Wander- und Lehrjahre', Hoffmann's story has at its core not character development - there is in fact precious little - but rather authorial technique and the narrator's ability to generate reflection and insight. Thus while in Heinrich von Ofterdingen it is a question of centrifugal and centripetal forces acting on the psyche of the hero, in Hoffmann's tale the interaction primarily takes place between the reader and the work of art. As a result Der Kampf der Snger does not begin with the introduction of Heinrich von Ofterdingen or Wolfframb von Eschinbach, nor do we find ourselves in the Middle Ages.

Instead we are introduced to the narrator, who describes himself sitting poring over Wagenseil's chronicle of 'der Meistersinger holdseliger Kunst'. It is the chronicle which acts as the lever which activates the narrator's imagination and transports him into the world of the master singers and by definition into a world created by his imagination.

The language used by Hoffmann is clearly chosen to emulate that of early Romanticism; the wind howls, the rain drives against the windows and the full moon throws eerie shadows on the wall. It is in this mood, conjured up by Hoffmann's evocative use of language, that the reader is prepared for the leap back in time. The effect that Wagenseil's chronicle has on the narrator of the story is precisely the effect Cyprian wished to have on his audience and Hoffmann on his readership. The reader awakens in the Middle Ages with the narrator, an awakening startlingly like that of Tannhäuser in Wagner's opera of the same name.⁴⁷ But like the narrator, the reader is not yet fully immersed in this world. It is still Wagenseil's chronicle which provides the information the fiction has not yet cut itself loose from its lever. The characters are neither the narrator's nor the reader's creation, but rather those described by the chronicler and as a result events still happen as he decrees:

'Es geschah so wie der Professor Wagenseil.es

gewollt; kaum waren sie auf dem in goldnem Grün leuchtenden Wiesenplan angekommen, als der Landgraf, die Gräfin, die sechs Meister aus der Ferne sich langsam nahten:' 48

Authorial tyranny is still present, whereas what both narrator and author ideally desire is a rejection of such tyranny in favour of an active and productive reader. Only if the story fires the reader's imagination can the story be regarded as successful and serapiontic. For this to happen the author must have seen what he is describing as a result of insight. At this point in time, however, real insight has not yet occurred. Following Fichte's reasoning, the ego reflecting upon itself can transcend the basis of its own knowledge and by this act make knowledge of the ego the object of knowledge itself.⁴⁹ The author of the chronicle can still intrude into the narrative at will and in such a way that he pre-empts the reader's imagination, doing his work for him:

'„Ich will", begann Wagenseil; „Ich will Euch nun, lieber Herr! jeden der Meister besonders zeigen und mit Namen nennen."' 50

Wagenseil's chronicle is not and cannot be Romantic, it remains a lever. After Eine Spukgeschichte which immediately follows Der Kampf der Sänger, Theodor says

'Nichts ist mir mehr zuwider als wenn in einer Erzählung, in einem Roman der Boden, auf dem sich die fantastische Welt bewegt hat, zuletzt mit dem historischen Besen so rein gekehrt wird, daß auch kein Körnchen, kein Stäubchen bleibt, wenn man so ganz abgefunden nach Hause geht, daß man gar keine Sehnsucht empfindet noch einmal hinter die Gardinen zu kucken!'. 51

After this relegation of Wagenseil's work to the status of a lever, we learn that the stranger we

were introduced to at the beginning of the tale is in fact Cyprian:

'Du gewahrst es, vielgeliebter Leser! daß der, welchem dieses alles träumte, eben derjenige ist, der im Begriff steht, dich unter die Meister zu führen, mit denen er durch den Professor Johann Christoph Wagenseil bekannt wurde.' 52

Although from now on the narrator still intervenes, it is in a way common to Hoffmann's oeuvre.

The narrator does not assert his ascendancy over the reader's imagination. The intrusions are designed to help the reader break free from the narrator's creations and break out into his own imaginative world as an extended author. As a result, in the next line we learn that strange figures are moving in the twilight and we are told,

'Wir erkennen Farbe der Kleidung, Gesicht, wir hören ihr Gespräch, wiewohl die Worte verhallen in den weiten Lüften. Aber nun tauchen sie unter in die blauen Nebel eines tiefen Tals. Dann können wir es kaum erwarten, daß sie nur wieder aufsteigen, daß sie bei uns sich einfinden, damit wir sie erfassen, mit ihnen reden können. Denn gar zu gern möchten wir doch wissen, wie die ganz in der Nähe geformt und gestaltet sind, welche in der Ferne sich so verwunderlich ausnehmen.' 53

We are no longer told the colours, given descriptions of the figures, nor can we hear their conversation, instead this is now all left to the imagination of the reader:

'Möchte der erzählte Traum in dir, geliebter Leser, ähnliche Empfindungen erregen. Möchtest du es dem Erzähler freundlich vergönnen, daß er dich nun gleich an den Hof des Landgrafen Hermann von Thüringen nach der schönen Wartburg bringe.' 54

The Heinrich von Ofterdingen of Der Kampf der Sängers is not the inexperienced youth of Novalis' novel.

In Hoffmann's world things are no longer as clear-cut as they apparently were for Novalis. For Novalis' hero the problem of survival in the aesthetic sphere, after the process of becoming is complete, is not a problem that is dealt with. While, as we have seen, Hoffmann also traces the path to artisthood, the actual fate and degree of success of his artist heroes is frequently left in doubt and the characters themselves strongly ironised.⁵⁵ Characters in Hoffmann's tales who have already achieved artistic status symbolise a more tragic dimension.⁵⁶ Theodor is aware of this when he criticises Cyprian for spoiling his idealised picture of Heinrich von Ofterdingen gained as a result of reading Novalis' novel:

'Er behauptete, Cyprian habe ihm das schöne Bild von dem im tiefsten Gemüt begeisterten Heinrich von Ofterdingen, wie es ihm aus dem Novalis aufgegangen, durchaus verdorben. Der herrliche Jüngling erscheine, so wie er ihn dargestellt, unstet, wild, im Innersten zerissen, ja beinahe ruchlos.' 57

Heinrich von Ofterdingen is introduced to the reader as an artist, who like Berthold or Francesko, has achieved artistic acclaim but like them has become less interested in the creation of works of art than in the nature of the seat of artistic creativity. He has been seduced by the desire to know more about the nature of the ideal which irrevocably leads to the attempted possession of the ideal itself:

'Heinrich von Ofterdingens Lieder gingen durch die innerste Seele, er wußte, selbst ganz aufgelöst in schmerzlichem Sehnen, in jedes Brust die tiefste Wehmut zu entzünden. Aber oft schnitten

grelle häßliche Töne dazwischen, die mochten wohl aus dem wunden zerrissenen Gemüt kommen, in dem sich böser Hohn angesiedelt, bohrend und zehrend wie ein giftiges Insekt.' 58

What Ofterdingen's songs bewail is the immeasurable agony of earthly existence, the realisation that he has the ability to perceive a higher sphere while remaining firmly anchored to the earthly sphere, the realisation that he must remain suspended in a kind of limbo between heaven and earth, real and ideal. Instead of reconciling himself to the necessity of such a situation, which in Hoffmann's opinion any creative artist must do, Ofterdingen's reaction is total dissatisfaction, which manifests itself in his art in the form of a turmoil which reflects the dissonances and growing fragmentation within himself. The corollary of possession of the ideal and the concomitant desire to know more than a mortal can know, frequently manifests itself in arrogance towards one's fellow men and the will to power so appropriately symbolised by Alban in Der Magnetiseur and Euphemie in Die Elixiere des Teufels: 'Und doch brannte ich, von eitlen Wahn betört, dich - alle übrigen Meister zu übertreffen.'⁵⁹

In Der Kampf der Sänger world polarity, the good and evil principles, are externalised in the characters of Wolfframb von Eschinbach and Klingsohr. Wolfframb represents the essence of the creative artist. He is a man who has come to terms with his artistic creativity and his earthly existence. He is content with using his insights into the wellspring of the imagination and

the perception of poetic ideal rather than attempting to possess direct knowledge of them. Wolfram does not fall prey to the seduction of attempting to reside in the realm of the imagination permanently.

Klingsohr personifies all that is negative for the aspiring artist. Not content with creativity for its own sake, he desires only knowledge of the powers that govern it, thus investing himself with power over others. Ofterdingen is neither one nor the other of these antithetical modes of being, but instead combines them both within himself.

As a result of his victory over his fellow singers, made possible by a period of study under Klingsohr, Mathilde, who has become the incarnation of the poetic ideal for Ofterdingen, is suddenly within his grasp:

'Ein unbekanntes Glück, des Himmels höchste Wonne stand hoch über mir, wie ein golden funkelnder Stern - zu dem muß ich mich hinaufschwingen, oder trostlos untergehen. Ich schaute hinauf, ich streckte die Arme sehnsuchtsvoll empor... Ich fühlte mich ruhig, eine sanfte wohltuende Wärme glitt durch mein Inneres. Es war mir, als schwämme ich im weiten Himmelsraum daher auf dunklen Wolken. Da fuhr ein funkelnder Blitz durch die Finsternis und ich schrie laut auf: „Mathilde!“' 60

As with Medard , the belief in the possibility of the earthly possession of the perceived ideal brings out all the incipient vanity and arrogance stored up within himself. He wins the love of Mathilde, but his love for her is debased and is governed only by the drive to possess. The impossibility of such possession is concretised by the visible mental and physical de-

terioration of Mathilde:

'Nicht lange währte es, so war die Dame Mathilde in ihrem Wesen ganz und gar verändert. Mit höhnnendem Stolz sah sie herab auf die andern Meister, und selbst den armen Wolfframb von Eschinbach hatte sie ihre Gunst entzogen... Seit dieser Zeit war es aber, als schwände von der berückten Frau alle Anmut und Holdseligkeit. Alles vernachlässigend, was zur Zierde holder Frauen dient, sich alles weiblichen Wesens entschlagend, wurde sie zum unheimlichen Zwitterwesen, von den Frauen gehaßt, von den Männern verlacht.' 61

In the same way that Anselmus was not the master of his own fate in Der goldne Topf, the real struggle taking place between Lindhorst and Liese, so the resolution of the artistic problem in the story is not in the hands of Ofterdingen. Wolfframb von Eschinbach and Klingsohr represent the externalisation of the internal struggle taking place in Heinrich von Ofterdingen. Thus, in the narrative of the story, the hero is reduced to the role of cipher whose function is to serve the exposition of the narrator's world view. As a result the central character is no more than a pawn in a struggle of more titanic dimensions. The struggle externalised in the contest between Heinrich von Ofterdingen and Wolfframb von Eschinbach is really a struggle between the latter and Klingsohr. It is a struggle between feeling and knowledge, imagination and scholasticism, the desire to be creative and the quest for knowledge. The opposition between the two is made explicit when Wolfframb tells Klingsohr:

'Ich meine aber, daß wohl aller Unterricht, alles Vernehmen der höchsten Meister mir garnichts geholfen haben würde, wenn die ewige Macht des

Himmels nicht den Funken in mein Innres gelegt hätte, der in den schönen Strahlen des Gesanges aufgeglommen, wenn ich nicht mit liebendem Gemüt alles Falsche und Böse von mir fern gehalten und noch hielte, wenn ich nicht mich mühte in reiner Begeisterung, nur das zu singen, was meine Brust mit freudiger, süßer Wehmut ganz und gar erfüllt.' 62

In a private contest between von Eschinbach and Klingsohr, it is the former who is the victor and as a result the competition proper has already been decided. It is Wolfframb von Eschinbach's subsequent victory over Heinrich von Ofterdingen which in the final analysis lifts the veils which have clouded the latter's perception, but for the reader this has now become a foregone conclusion:

'Wolfframb! es ist geschehen, was deine ahnende Seele damals weissagte. An dem Rande des Abgrundes stand ich und du hieltst mich fest, als schon verderbliche Schwindel mich betäubten.' 63

As a result of the veils being lifted and the restoration of his perception, Ofterdingen realises that his ideal was merely an idol:

'Nein es war wohl nicht die herrliche Frau, es war ein unheimlicher Spuk, der mich erfüllte mit trügerischen Bildern eitler irdischer Lust!' 64

In Das Fremde Kind, the second fairy tale told by Lothar, we again find ourselves amongst the by now familiar constellation of Hoffmann's characters. It was written in 1817, one year before Der Kampf der Sänger, and first published in volume II of the Kinder-Mährchen published jointly by C.W. Contessa, Friedrich Baron de la Motte Fouqué and E.T.A. Hoffmann.⁶⁵ In the 'child' we have the earthly manifestation of the imagination.

In the character of Magister Tinte, on the other hand, we have the incarnation of everything hostile to the workings of the imagination. The underlying message of Urs von Planta's work on Das Fremde Kind is that it should be seen and interpreted from a standpoint which sees the child of the tale as the apotheosis of the 'kindliches Gemüt' which is anti-rationalist, anti-enlightenment and anti-town.⁶⁶

Although such a view fits in rather well with the cosmology of Novalis and literally continues where Bollnow's work on Der goldne Topf leaves off, it does not do justice to the complexity of Hoffmann's world view or the tale itself.

The two main characters in Das Fremde Kind, Felix and Christlieb, like Fritz and Marie in Nußknacker und Mausekönig represent that state of childlike innocence so dear to the Romantic writer. Their life in the country can only be described as idyllic, a rural Atlantis, in which the ravages of a mechanistic world order and the unbending logic of rationalism have had little or no effect. Representatives of town life are mercilessly caricatured, so that the cousin Herr Thaddäus von Brakel and his family are shown to possess only negative attributes. Even the toys, brought as presents for Felix and Christlieb, and representing the achievements of modern society, are seen as purely destructive in that they only serve to estrange the children from their communion with nature, thus making it impossible for the mythical

child to visit them.

The tutor sent by Cyprianus von Brakel to educate the children of his impoverished cousin, however, is not merely the representative of town life in general and the Enlightenment in particular, he is simultaneously also the 'böse Minister' and the gnome king from the realm of the 'child', the sphere of the imagination. What Magister Tinte can do, which the 'child' cannot, is reside permanently in the earthly sphere if he wishes to do so. He is a fallen archangel who has made the world his realm.

Seen in this light, the incursion of the Magister into the world of Felix and Christlieb is like that of the 'schwarzer geflügelter Drache' in Atlantis:

'und es kam ein schwarzer geflügelter Drache rauschend herausgeflattert und sprach: „Meine Brüder, die Metalle, schlafen da drinnen; aber ich bin stets munter und wach und will dir helfen.“ Sich auf- und nieder schwingend erhaschte endlich der Drache das Wesen, das der Lilie entsprossen, trug es auf den Hügel und umschloß es mit seinem Fittig; da war es wieder die Lilie, aber der bleibende Gedanke zerriß ihr Innerstes, und die Liebe zu dem Jüngling Phosphorus war ein schneidender Jammer, vor dem, von giftigen Dünsten angehaucht, die Blümlein, die sonst sich ihres Blicks gefreut, verwelkten und starben.' 67

However, the realm in which Felix and Christlieb live is no Atlantis, it is the 'real' world, and as such cannot be spared from the destructive power of Magister Tinte. The fact that the earthly idyll cannot survive is further reinforced as a result of Felix and Christlieb being children who will grow out of their childlike state of innocence. Neither of the children should be seen as the personification of the true Romantic, however, as

can be deduced from Christlieb's response to the 'child' taking them both on another flight of the imagination: 'Aber nur nicht so sehr hoch, da schwindelt's mir gar zu sehr'.⁶⁸

The very existence of the realm of the imagination also serves to relativise the idyll of the von Brakels. Heaven is no longer on earth; since the fall man can only reach it through the creative faculty of the imagination. It is for this reason that the 'child' finds it impossible to explain to the children where it lives. It can only reassure them that if they so desire they have the ability to perceive it but that no human can reside there.

Despite the defeat of Magister Tinte in the conflict between himself and the von Brakel family, his ability to stifle the imagination as a result of his ability to make everything drab achieves its ultimate aim in the destruction of the children's idyll. After ridding his family of the troublesome tutor, Thaddäus von Brakel tells his children how he too has seen 'das fremde Kind'. The memory of this meeting with the 'child' in his youth, however, fills him with 'dieselbe Sehnsucht von der ihr ergriffen'. It is this realisation that kills Thaddäus von Brakel, the knowledge that a return to a higher state of innocence is denied him and it his failure to come to terms with this realisation that marks his failure.

It is suggested in the tale that despite the process of growing up it is necessary to remain in touch

with this childlike naivety. Fairy tales are for children of all ages as we are told in the discussion at the end of Nußknacker und Mausekönig. Those who have never been children will never understand the essence of the fairy tale as Ottmar points out:

'solltest du dein Werk ins große Publikum schicken, viele sehr vernünftige Leute, vorzüglich solche die niemals Kinder gewesen, welches sich bei manchen ereignet, mit Achselzucken und Kopfschütteln zu erkennen geben werden, daß alles tolles, bunt-scheckiges, aberwitziges Zeug sei, oder wenigstens, daß dir ein tüchtiges Fieber zu Hülfe gekommen sein müsse, da ein gesunder Mensch solch Unding nicht schaffen könne.' 69

Thus the author will be accused of the same madness or eccentricity as the characters of the fairy tales by the representatives of society. It is,

'ein gewagtes Unternehmen das durchaus Fantastische ins gewöhnliche Leben hineinzuspielen und ernsthaften Leuten, Obergerichtsräten, Archivarien und Studenten tolle Zauberkappen überzuwerfen'. 70

At the end of Das Fremde Kind Cyprian reiterates that the fairy tale is for big and small children:

'„Oder“, nahm Vinzenz das Wort, „Märchen für Kinder und für die, die es nicht sind, so kann die ganze Welt ungescheut sich mit dem Buche abgeben und jeder dabei denken was er will.“ ' 71

What the children are left with at the end of the story is what the receptive reader of the tale also possesses, insight which they can occasionally make use of. As with Ottmar's instructive description of psychic phenomena:

'die für uns doch ein fremdes Gebiet bleibt, in dem wir nur einige durch Farbe und Aroma verlockende Früchtlein pflücken zum poetischen

Verbrauch, oder woraus wir höchstens ein hübsches Bäumchen verpflanzen dürfen in unsern kleinen poetischen Garten.' 72

it represents a means but never an end.

With Die Brautwahl we are once again in more typical Hoffmann territory, the town. Written in 1818, revised in 1820 and published in the Berlinischer Taschenkalender for the year 1820 before reappearing as the second tale in volume III of Die Serapions-Brüder, Die Brautwahl has all the techniques of narration so well known to us from Hoffmann's earlier tales. Thus the opening lines of the tale:

'In der Nacht des Herbst-Äquinoktiums kehrte der Geheime Kanzleisekretär Tusmann aus dem Kaffee-
hause, wo er regelmäßig jeden Abend ein paar
Stunden zuzubringen pflegte, nach seiner Wohnung
zurück, die in der Spandauerstraße gelegen', 73

give one the distinct impression that one has been here before. With time and location precisely defined and with government officials walking the streets the reader could be forgiven for imagining himself back in the world of Archivarius Lindhorst. The only difference is that we are not in Dresden but in Berlin and the story was written in 1818 and not 1814.

The story parallels Der goldne Topf in many respects, not just in the mood set in the first few lines. Thus it contrasts the ethics of the bourgeois and the artist, a contrast which manifests itself in the struggle for the hand of a woman. For the Kanzleisekretär Tusmann, a marriage to Albertine Voßwinkel -

her name already provides us with a clue to the fact that for an artist this woman's function can only be symbolic - represents the culmination of his desire for bourgeois respectability. For Tusmann a wife is a successful man's final acquisition. For Edmund Lehsen, the aspiring artist, things are not nearly as simple as they are for the philistine Tusmann. It is the artist who in Hoffmann's works is always torn between the opposing drives for material comfort and happiness and artisthood. In the first instance Lehsen is driven to follow the dictates of his ideological conditioning, to opt for a wife, a career and bourgeois happiness. On the reverse side of the coin, his artistic instincts counter his desire to take a wife.

Kanzleisekretär Tusmann is an extremely methodical man:

'In allem, was er tat, war der Geheime Kanzleisekretär pünktlich und genau. Er hatte sich daran gewöhnt, gerade während es auf den Türmen der Marien- und Nikolai-Kirchen eilf Uhr schlug, mit dem Rock- und Stiefelausziehen fertig zu werden, so daß er, in die geräumigen Pantoffeln gefahren, mit dem letzten dröhnenden Glockenschlage sich die Nachtmütze über die Ohren zog.' 74

On this night, however, he is slightly late. He has broken his bourgeois routine which suddenly seems to open up a new dimension of experience to his narrow horizons and will cost him dearly:

'da die Uhren sich schon zum Eilfschlagen anschickten, wollte er eben mit einem raschen Schritt (beinahe war es ein behender Sprung zu nennen) aus der Königsstraße in

die Spandauerstraße hineinbiegen, als ein seltsames Klopfen, das sich dicht neben ihm hören ließ, ihn an den Boden festwurzelte.' 75

Tusmann meets a stranger who introduces him to a world of which his limited horizon knows nothing, the world of the imagination. Leonhardt, who skulks through the streets of Berlin at night like Gluck, shows him the power of the imagination over his normally ordered rational mind once the veneer of rationality has been partly broken down.

Leonhardt tells Tusmann that at the time of the autumn equinox it is possible to see the woman who is to be the happiest bride in Berlin at a window in the tower of the town hall. It is clear that Leonhardt, like Serapion, is an artist, he has the power to make Tusmann see what he is telling him. Not only does Tusmann see this woman, but his inflamed imagination permits him to see more than Leonhardt has told him. As a result of the workings of his inflamed imagination, he sees Albertine Voßwinkel, whom, because of an arrangement struck between himself and Albertine's father, he is to marry.

As we have already seen in Der goldne Topf, even the bourgeois is capable of moments of insight, albeit in an unchannelled form.⁷⁶ Leonhardt realises that Tusmann has seen a very personal vision:

'„Sie scheinen“, begann der Fremde, „von dem, was Sie sahen, sehr ergriffen worden sein, bester Herr Tusmann? - Ich habe bloß die Braut schauen wollen, und Ihnen selbst, Verehrter, muß dabei noch anderes aufgegangen sein.“ ' 77

As well as pointing out that Tusmann has projected

himself into his story as an experiencing subject, Leonhardt distinguishes between a pure vision, ie. poetic insight, and a vision in which there is an element of possession by describing what Tusmann has seen as 'sehen' and what he himself has 'seen' as 'schauen'.

Tusmann's night ends with a visit to a wine bar. This radical break with his usually abstemious character and habits makes his ordered mind even more accessible to the power of the imaginative process. Like Erasmus Spikher, this late visit to the bar brings him into contact with other people of the night, people his nine-to-five existence protects him from. In conversation with some of these characters, Tusmann's answer to one of them who is talking about the witch hunts could very well be taken to describe his own experiences that night:

'„Ach“, nahm der Geheime Kanzleisekretär das Wort, „ach, Sie meinen gewiß die schnöden Hexen- und Zauberprozesse, wie sie in alter Zeit stattfanden, mein bester Herr! - Ja, das war freilich ein schlimmes Ding, dem unsere schöne Aufklärung ein Ende gemacht hat.“ ' 78

In Hoffmann's opinion our hold over our own rationality is weak and only a paper thin wall separates man from undreamt of dimensions of experience.

In Chapter II we are introduced to Edmund Lehsen, although chronologically the events in this chapter pre-date those of the first chapter. On seeing Lehsen's paintings, Leonhardt immediately recognises the youth's potential and in the true style of the 'Meister' decides to take him under his wing. He realises that like himself

Edmund possesses 'ein durchschauendes Auge'. Edmund too, recognises a kindred spirit in Leonhardt and realises that he also has the ability to penetrate the veils which a surfeit of rationality draped over the world:

'Ist es Ihnen nicht auch so, wenn Sie sich in der Natur ganz Ihrem sehnsüchtigen Gefühl überlassen, als schauten durch die Bäume, durch das Gebüsch, allerlei wunderbare Gestalten Sie mit holden Augen an?' 79

The reader could almost be forgiven for mistaking these eyes for Serpentina's 'holdselige Augen' shining through the foliage of the elder tree.⁸⁰

It is clear from this tale and as a result of reading earlier Hoffmann stories that Albertine can never be regarded as a serious match for Edmund. It is true she possesses all the attributes a bourgeois wife should possess; she knows just enough about art to be able to converse about it, she can play a musical instrument, takes singing lessons, can recite passages from Goethe and Jean Paul, but she can never aspire to the possession of an artistic soul. She acts as an ideal for Edmund but should he marry her he would soon recognise her for what she is, a 'lebloses, verdamntes Automat!'.⁸¹ Albertine's function in the life of Edmund Lehsen is purely symbolic. Such a negative assessment of Albertine also sheds additional light on other Hoffmann heroines. Thus Veronika in Der goldne Topf is not worthy of Anselmus and equally Clara in Der Sandmann should not be seen as positively as some interpreters suggest.⁸²

Behind the typically Hoffmannesque battle between the representatives of supernatural powers fought out between Leonhardt and Manasse, we find the characteristic 'Künstlerproblem'. In a bizarre competition for Albertine's hand between Edmund, Tusmann and Manasse's nephew, everyone gets what he really wants. Tusmann receives a book which can turn into whatever volume he desires, satisfying his pedantic quest for knowledge which for him only exists in the written word. Baron Bensch receives a gold coin from which he can file as much gold as he wishes without diminishing the size of the coin. This quenches his thirst for purely material objects. Edmund wins Albertine's hand but only on the condition that he first of all spends a year in Italy studying art. The final damning of Albertine occurs when we are told that although she will miss Edmund, it will be nice to show his letters around at tea parties:

'Edmund, so schmerzlich ihm die Trennung von der Geliebten werden mußte, fühlte doch den dringenden Trieb zu wallfahrten nach dem Lande der Kunst und auch Albertine dachte, während sie die bittersten Tränen vergoß, daran, wie interessant es sein würde, in diesem, jenem Tee, Briefe, die sie aus Rom erhalten, aus dem Strickkörbchen hervorzuziehen.' 83

It comes as no surprise to the reader when he learns that the two lovers grow apart and that finally Albertine finds a new suitor who is more her level, the Referendarius Gloxin. Albertine has fulfilled her function for Edmund, she has acted, unknowingly, as the ideal without which the artist cannot be truly creative and it

is Edmund's renunciation of the possession of the external manifestation of this ideal which marks his first step on the long road to artistic creativity. Whether he actually achieves his aim is left in doubt and is of no importance for the exposition of the artistic problem.

The ensuing discussion about Die Brautwahl between the brethren draws, albeit indirectly, further parallels between the underlying artistic principles of the Fantasie- und Nachtstücke and Die Serapions-Brüder. When Ottmar tells Lothar that his tale is

'ein wunderlich tolles Ding, was du da aufgeschrieben hast. Mir will deine sogenannte Geschichte mit den unwahrscheinlichen Abenteuern vorkommen, wie eine aus allerlei bunten Steinen willkürlich zusammengefügte Mosaik, die das Auge verwirrt, so daß es keine bestimmte Figur zu erfassen vermag', 84

Lothar's answer is one the author of the Fantasiestücke would fully endorse:

'Vergleichst du, Ottmar, meine Geschichte mit einer bunten willkürlich zusammengefükten Mosaik, so sei wenigstens nachgiebig genug, dem Dinge, das du wunderlich toll nennst, eine kaleidoskopische Natur einzuräumen, nach welcher die heterogensten Stoffe willkürlich durcheinandergeschüttelt, doch zuletzt artige Figuren bilden.' 85

While the story can be compared to a multi-coloured mosaic the reader is reminded of the Editor's words in the introduction to the Fantasiestücke in Callots Manier:

'Kein Meister hat so wie Callot gewußt, in einem kleinen Raum eine Fülle von Gegenständen zusammenzudrängen, die ohne den Blick zu verwirren, nebeneinander, ja ineinander heraustreten, so daß das Einzelne als Einzelnes für sich bestehend, doch dem Ganzen sich anreicht.' 86

Thus, when in the last paragraph of his introduction,

the editor tells us:

'Könnte ein Dichter oder Schriftsteller, dem die Gestalten des gewöhnlichen Lebens in seinem innern romantischen Geisterreiche erscheinen, und der sie nun in dem Schimmer, von dem sie dort umflossen, wie in einem fremden wunderlichen Putze darstellt, sich nicht wenigstens mit diesem Meister entschuldigen und sagen: Er habe in Callots Manier arbeiten wollen?', 87

we realise that, in this respect at least, Hoffmann's Romantic world picture is still remarkably intact.

Similarly, Theodor's defence of Lothar's tale, which involves a criticism of those writers who consider that fairy tales should be situated in the Orient, is that

'Die Sitten des Morgenlandes nur eben berührend, schuf man sich eine Welt, die haltlos in den Lüften schwebte und vor unsern Augen verschwamm. Deshalb gerieten aber jene Märchen meistens frostig, gleichgültig und vermochten nicht den innern Geist zu entzünden und die Fantasie aufzuregen. Ich meine, daß die Basis der Himmelsleiter, auf der man hinaufsteigen will in höhere Regionen, befestigt sein müsse im Leben, so daß jeder nachzusteigen vermag. Befindet er sich dann immer höher und höher hinaufgeklettert, in einem fantastischen Zauberreich, so wird er glauben, dies Reich gehöre auch noch in sein Leben hinein, und sei eigentlich der wunderbar herrlichste Teil desselben. Es ist ihm der schöne prächtige Blumen-garten vor dem Tore, in dem er zu seinem hohen Ergötzen lustwandeln kann, hat er sich nur entschlossen, die düstern Mauern der Stadt zu verlassen.' 88

And again we realise that it is still the author of the Fantasiestücke in Callots Manier who is speaking.

The work of art is first and foremost a vehicle of transcendence, a means of igniting the imagination. Its function is to ignite reflection and then insight in the reader, making him an extended author. It is for this reason that so much stress is placed on the fact that the objects of representation must be drawn from

the reader's everyday world, so that the imagination has a point of orientation from which it can climb into higher spheres. For this reason also, the poet must not jealously protect his poetic creation from others. Works which are the result of insight on the part of the poet must be set free. They must be allowed to exist independently of the poet. The writer for his part must realise that the insight which helped him to create his work no longer exists in the work nor can it be conveyed to others. The function of the work must be to raise new insight in those who are capable of perceiving the 'Himmelsleiter':

'Gewiß ist es, daß daher der Dichter an einer Befangenheit leidet, die ihm den Genuß seines Werks verdirbt und daß nur dann, wenn er sich dieser Befangenheit zu entschwingen, wenn er seine Dichtung, seine Personen als losgelöst von seinem Innern, objektiv zu betrachten vermag, sein Werk ihn nach Umständen erfreuen kann.' 89

In the discussion of Die Serapions-Brüder, only a select number of tales have been discussed. They were chosen for two reasons; firstly to show how tales written over a long period, could nevertheless be integrated under the serapiontic principle and secondly, works which have received scant critical appraisal were, in a number of cases, chosen consciously in preference to those tales which have received numerous interpretations in recent years. For this reason, for example, Das Fremde Kind was included while the much acclaimed Das Fräulein von Scuderi was not. Although the latter of the two tales

clearly exemplifies this thesis; one has only to think of Cardillac's desire to possess his artistic creations and the resulting destruction. It would be difficult to add anything to this tale which has not been written already.⁹⁰

Die Königsbraut is the last tale in Die Serapions-Brüder and deserves inclusion for this reason alone. Although Hoffmann mentions the tale in a letter to Reimer dated the 6. 9. 1820 in which he writes:

'Den dritten Band schließe ich in diesen Tagen auch mit einem funkelnagelneuen Märlein, so daß er wohl auch 38 Bogen stark ausfallen wird.' 91

it was not completed in time for inclusion in volume III and as a result appeared as the last tale in volume IV published in 1821. Despite the fact that it is one of Hoffmann's later stories, however, in technique and poetic intention it offers ample evidence that no major shift in Hoffmann's world view occurs.

Once again Hoffmann indulges in the now familiar technique of addressing the reader directly and asking him to think himself into the scene the narrator is describing.⁹² He presupposes that the reader might in fact have visited the area along the Main which he is describing and as a result asks the reader to use his own imagination and project it into the tale. This time, however, the narrator goes even further in that he uses his poetic creations to populate the world of the reader's imagination:

'Du vermagst es nicht auszuharren in dem engen Wagen, du steigst aus und wandelst durch das

Wäldchen, hinter dem du erst, als du hinabfuhrst in das Tal, ein kleines Dorf erblicktest. Plötzlich kommt dir aber in diesem Wäldchen ein langer hagerer Mann entgegen, dessen seltsamer Aufzug dich festbannt.⁹³

The reader, if the fairy tale is having its desired effect, has now imagined himself into the fictional village of Dapsulheim. He is then told by means of another narrator incursion that this short visit will suffice to acquaint him with the situation in the home of Herr Dapsul von Zabelthau. For the reader conversant with Hoffmann's oeuvre there is not only the possibility of creating Dapsulheim as a result of the imaginative interplay of fiction and past experience but also, because of the familiarity with the typically Hoffmannesque characters, to see in the inhabitants of Dapsulheim the representation of a constellation of characters from Hoffmann's other tales.

Dapsul von Zabelthau who has cut himself off from the everyday world of experience can almost be interpreted as an aged Anselmus who, sitting in his tower, imagines he is in Atlantis. Anna his daughter, could just as easily be called Albertine, Veronika or the name of any other of Hoffmann's dubious heroines, while Anna's fiancé, despite the fact that he is an artist, is the apotheosis of a philistine and despite his name the kind of man Hoffmann's heroines are destined to marry.⁹⁴

In his quest for nature's hidden mysteries, Anna's father has lost the greater part of the family fortune by allowing a cousin to squander it:

'Herr Dapsul von Zabelthau strebte zu sehr nach

dem sonnegebornen Golde einer höhern Welt, als daß er sich hätte aus irdischem viel machen sollen, er dankte vielmehr dem Vetter mit gerührtem Herzen dafür, daß er ihm das freundliche Dapsulheim erhalten mit dem schönen hohen Wartturm, der zu astrologischen Operationen erbaut schien und in dessen höchster Höhe Herr Dapsul von Zabelthau auch sofort sein Studierzimmer einrichten ließ.' 95

The man, however, who sits in olympian isolation has to come down from his self-created mountain to eat, thus subordinating his search for heaven to the dictates of the human stomach:

'Während nun Herr Dapsul von Zabelthau sich in seine astrologischen Beobachtungen und in andere mystische Dinge vertiefte, führte Fräulein Ännchen, da die alte Großtante gestorben, die Wirtschaft auf das beste, so daß wenn Dapsul dem Himmlischen nachtrachtete, Ännchen mit Fleiß und Geschick das Irdische besorgte.' 96

Thus in Die Königsbraut in general and in Dapsul von Zabelthau in particular we have the artist problem in a totally ironised form.

If a relativisation of Atlantis, or any of Hoffmann's other mythical realms of the imagination, into which some of Hoffmann's artist figures think they can retreat, is still required, we can find ample evidence for this in Die Königsbraut. The struggle for Anna's hand in marriage is not fought out between an artist who sees in her the poetic ideal and a representative of the bourgeoisie, here it is a struggle between a pathetic artist and a carrot. The fact that the representative of the mythical sphere is not a salamander but a carrot makes the relativisation all the more extreme.

In the inevitable battle between Carota and

Dapsul, which grotesquely satirises the struggle between the good and evil principles at work in the world, we can discern Hoffmann's final rejection of man being able consciously to influence his own fate by allowing a talentless poet to defeat a carrot.

At the end of the tale Amandus and Anna are united in their Atlantis, a vegetable garden. The 'Meierhof' has become reality. However, first of all, Amandus has to receive a blow on the head from a spade wielded by Anna which has the effect of making Anna averse to spades and ridding Amandus of his egotism and artistic pretensions:

'Fräulein Ännchen hatte eine Abscheu gegen das Handhaben des Spatens bekommen und herrschte wirklich wie eine echte Königin über das Gemüsreich', da sie dafür mit Liebe sorgte, daß ihre Vasallen gehörig gehegt und gepflegt wurden, ohne dabei selbst Hand anzulegen, welches sie treuen Mägden überließ. Dem Herrn Amandus von Nebelstern kam dagegen alles, was er gedichtet, sein ganzes poetisches Streben, höchst albern und aberwitzig vor, und vertiefte er sich in die Werke der großen, wahren Dichter der ältern und neuern Zeit, so erfüllte wohlthuende Begeisterung so sein Inneres ganz und gar, daß kein Platz übrigblieb für einen Gedanken an sein eignes Ich. Er gelangte zu der Überzeugung, daß ein Gedicht etwas anderes sein müsse, als der verwirrte Wortkram, den ein nüchternes Delirium zutage fördert, und wurde, nachdem er alle Dichtereien, mit denen er sonst sich selbst belächelnd und verehrend, vornehm getan, ins Feuer geworfen, wieder ein besonnener in Herz und Gemüt klarer Jüngling, wie er es vorher gewesen.' 97

Die Serapions-Brüder is an attempt by Hoffmann, using the organisation of old and new tales linked by a frame of aesthetic discussions, to explicate his world picture. It contains nothing that the reader already conversant with Hoffmann's earlier work will not know already. Its importance lies in the fact that it provides us with a

mature, consistent and reasoned discussion of what Hoffmann considered to be the dominant problems for the creative artist. The fact that Hoffmann felt able to publish Die Serapions-Brüder and his mixing of the old and new, also provides conclusive evidence for the fact that Hoffmann's Romantic world view did not change. When Lothar says, in the ensuing discussion about Die Königsbraut:

'an keinem Serapions-Abend ist wohl unsre Unterhaltung krauser und bunter gewesen, als eben heute. Gut ist es aber, daß wir aus dem gräulichen Dunkel in das wir, selbst weiß ich nicht wie hineingerieten, uns wieder hinausgerettet haben in den klaren heitern Tag, wiewohl uns ein etwas zu ernster, zu vorsichtiger Mann mit Recht den Vorwurf machen würde, daß all das von uns hintereinander fortgearbeitete fantastische Zeug den Sinn verwirren, ja wohl gar Kopfschmerz und Fieberanfälle erregen könne.' 98

and Ottmar answers:

'mag jeder tragen was er kann, jedoch nur nicht das Maß seiner Kraft für die Norm dessen halten, was dem menschlichen Geist überhaupt geboten werden darf. Es gibt aber sonst ganz wackre Leute, die so schwerfälliger Natur sind, daß sie den raschen Flug der erregten Einbildungskraft irgendeinem krankhaften Seelenzustande zuschreiben zu müssen glauben und daher kommt es, daß man von diesem, von jenem Dichter bald sagt, er schreibe nie anders, als berauschende Getränke genießend, bald seine fantastische Werke auf Rechnung überreizter Nerven und daher entstandenen Fiebers setzt. Wer weiß es denn aber nicht, daß jeder auf diese jene Weise erregter Seelenzustand zwar einen glücklichen genialen Gedanken, nie aber ein in sich gehaltenes geründetes Werk erzeugen kann, das eben die größte Besonnenheit erfordert.' 99

we see the congruity of the Fantasie- und Nachtstücke and Die Serapions-Brüder, and that the problem under discussion in these worlds is Romantic artistic creativity.

CHAPTER VI

'PRINZESSIN BRAMBILLA' AND 'DES VETTERS ECKFENSTER': THE REAFFIRMATION OF FAITH.

It has been the consistent aim of this thesis to show that in a number of major respects Hoffmann remained faithful to a Romantic world view. As a result of this, the final chapter of this thesis is devoted to two of Hoffmann's works which have frequently served as corner-stones for the hypothesis that in the latter stages of his life Hoffmann abrogated Romanticism and the fantastic in favour of Realism and a resolution of the world's antinomies. Thus Regine Jebesen in her dissertation sees this development as culminating in the 'realism' of Des Vetters Eckfenster after having embraced a new concept of humour in Prinzessin Brambilla.¹ Hans Mayer in his work Von Lessing bis Thomas Mann. Wandlungen der bürgerlichen Literatur in Deutschland, with special reference to Des Vetters Eckfenster, also sees Hoffmann in the mainstream of the development of Realism.² While Hans Georg Werner, despite the fact that he does not regard Hoffmann's oeuvre as a whole as Realistic, writes:

'Hoffmanns dualistisches Weltbild, seine mythische Deutung des Geschichtsverlaufs, seine fatalistischen Anschauungen, sein gelegentlicher Irrationalismus wirkten einer realistischen Gestaltung menschlicher und gesellschaftlicher Schicksale entgegen. Die dennoch in seinem Werke enthaltenen realistischen Elemente setzen sich trotz der allgemeinen weltanschaulichen Überzeugungen Hoffmanns durch, weil es den Dichter dazu drängte, die konkreten Erfahrungen seines Lebens zu gestalten, wobei sich diese realistischen Tendenzen in den letzten Schaffensjahren des Dichters verstärken'. 3

Prinzessin Brambilla was published in 1820 and we know from a letter by Hoffmann to Adolph Wagner dated the 21. May 1820 that Hoffmann's work was well on the way to completion at this time.⁴ Chronologically, therefore, this puts the tale squarely into a period in which Hoffmann was completing Die Serapions-Brüder.⁵ This in itself casts some doubt on whether Prinzessin Brambilla in fact represents a departure from Hoffmann's previous works.

It is only necessary to look at the chequered reception of the work from the date of first publication to the present day, to realise that the interpreter who attempts to make a definitive statement about this most perplexing of works is venturing on to thin ice. As a result, Helmut Müller's opinion about Prinzessin Brambilla can only be endorsed:

'Wie viele andere Werke Hoffmanns wird auch dieses gewiß seltsamste aller Hoffmannschen Märchen ganz verschieden beurteilt.' 6

It comes as no surprise, therefore, when we learn that the work's publication caused considerable furore amongst Hoffmann's readers and admirers.⁷ One of the few reviewers who appeared to have no reservations about the work's aesthetic quality was Friedrich Melzer who, writing in the Vossische Zeitung dated the 18. November 1820, has the following to say:

'Die Deutsche Lesewelt, besonders die schöne Hälfte derselben, betrachtet seit Jahren Hoffmanns phantastische Werke als die gelungensten neuen Erzeugnisse unserer romantischen Muse. Auch kann in der Tat ihm ähnlich an poetischem

Reichtum und an sittlicher Kraft (bei aller verschiedenheit des gewählten Genre) jetzt nur der Brite Walter Scott genannt werden, dessen Werke Hoffmann, in dem viel schwereren Fach der humoristischen Arabeskenmalerei, reichlich die Waage hält... Beide stellen..ihre Figuren am liebsten in Helldunkel. Walter Scott in jenes des neblichten Hochlandes, das er belebt mit den kräftigen Leidenschaften einer von den Wehen politischer Gestaltung durchzuckten Periode. - Hoffmann in das Helldunkel der von räumlichen Bedingungen des Daseyns gefesselten Psyche, ringend nach künstlerischer Entwicklung ihres eigenthümlichen Selbst.' 8

Ellinger, in the majority of cases an unshakeable Hoffmann enthusiast, sees the work as flawed and incomplete.⁹ As Heide Eilert has correctly pointed out, Ellinger's point of view was one which carried extreme weight in the subsequent evaluation of the tale's literary merit.¹⁰ Even in the first two decades of the twentieth century, the period in which, after years of neglect, Hoffmann's works underwent a searching reappraisal, only Walter Harich appears to have liked the work without any reservations.¹¹ The most vehement attack on Prinzessin Brambilla, however, is that by Korff, who compares the impression gained by reading it to being in a lunatic asylum.¹²

A true re-evaluation of the work did not take place until after the Second World War, when the development of the Modernist and Post-Modernist schools began to lay increasing stress on the importance of the grotesque and the absurd. Yet, despite the fact that a consensus of the work's literary worth has now been reached, many disagreements remain, a fact which in Heide Eilert's opinion, speaks for the complexity of the story.

Thus, Fritz Martini is of the opinion that Prinzessin

Brambilla and Meister Floh represent the resolution of the antinomies which make up mankind's existential problem, and that the resolution of this problem takes place in the soul.¹³ Robert Mühlher, on the other hand, doubts Martini's basic premises. For him the work represents Hoffmann's greatest artistic creation and is a tale in which the 'two world theory' still predominates and should be at the core of any attempted interpretation.¹⁴ Günzel is of the opinion that Prinzessin Brambilla marks a major shift in Hoffmann's world view because for the first time all the action takes place in the earthly sphere, and that this is indicative of his shift towards Realism:

'Der Prozeß dieser Verlagerung setzt sich mit der "Prinzessin Brambilla" fort. Hier spielt sich das Geschehen völlig im irdischen Raum ab, ist eine virtuos arrangierte Theaterinszenierung des Fürsten Bastianello di Pistoja und nicht mehr auf eine irrational-außerweltliche Instanz bezogen.' 15

Cramer, whose work springs directly from the increased interest in the grotesque, while agreeing with Martini that the existential tension no longer manifests itself in a dualistic world structure but in a dualism of the self, also makes the valuable point that, in the case of Hoffmann, it is all too easy to be seduced by the desire to discern signs of synthesis in his late works:

'Es wäre nicht gerechtfertigt, Hoffmanns späte Werke unter der geschichtsphilosophischen Konzeption zu betrachten, am Ende eines Lebenswerkes müsse immer 'Synthese' stehen. Hoffmanns letzte Erzählungen sind schließlich durch seinen frühen Tod mehr oder minder zufällig zu 'Spätwerken' geworden.' 16

Winfried Sdun refuses to tie himself to any all-enveloping model and prefers to see the work as multi-faceted:

'weil die formalen gedanklichen und thematischen Eigentümlichkeiten der "Brambilla" überaus vielfältig und zutiefst zwiespältig und doppeldeutig sind. Diese Merkmale des Cappricios sind nicht auf einem einfachen Nenner zu bringen, und der Grund dafür ist, daß die "Brambilla" als Ausdruck und Phänomen stark manieristische Züge aufweist'. 17

Sdun is, of course, correct here; however, this judgement can be expanded to include the majority of Hoffmann's works, most of which are multi-faceted and consequently can be approached from various standpoints.

M.M. Raraty in the introduction to his edition of Prinzessin Brambilla sees the work in the context of Hoffmann's other works and considers the 'serapiontic principle' to be at the core of most of Hoffmann's oeuvre.¹⁸ He is, also perfectly correct when he says that Prinzessin Brambilla represents

'Hoffmann's usual "way of the poet" from an earthly life of reality, through defeat and destruction, to final apotheosis in a new existence in the world of fantasy'. 19

However, as Raraty also points out, Giglio balances this by remaining in the real world while simultaneously being totally involved in the world of the theatre.

As a result, interpreters continue to disagree about where the emphasis in an interpretation of Prinzessin Brambilla should lie. Ricci sees the Hoffmann of Brambilla as the expounder of a kind of metaphysical humour and in attempting to prove his thesis makes use of a vast range

of sources going back to the Bhagavadgita.²⁰ Then, again, Helmut Müller tells us that such an interpretation does not make sense when it is applied to the Hoffmann who is speaking in the story:

'Und die Art, wie er spricht, kann und muß gerade bei dieser Dichtung die erste Instanz sein für eine Deutung dessen, was er allenfalls zu verkünden hätte.' 21

A concomitant of this is that Müller is of the opinion that such an analysis of necessity forces the interpreter to the conclusion that Prinzessin Brambilla represents a typical Hoffmann fairy tale, a model from which he appears unable to break free.

As Müller suggests, a comparison of Prinzessin Brambilla with some of Hoffmann's earlier fairy tales, especially Der goldne Topf, does reveal striking similarities and yet there is something almost indefinably different. The genesis of the story is to be found in a gift made to Hoffmann on the 24. January 1820, his 44th birthday, by his friend Koreff:

'Zu seinem (Hoffmanns) Geburtstag in diesem Jahr (24. Januar 1820) hatte ihm Koreff übrigens ein Heft mit ächten Callotschen Blättern (den 24 Radierungen Balli di Sfessania) geschenkt. Diese gaben ihm die Idee zu der Prinzessin Brambilla, die im nächstfolgenden, 1821 (genauer: Oktober 1820), erschien und zu der er mehrere (8) jener Blätter mit Gegenständen, die in den Gang der Handlung eingreifen, abbilden (d.h. von C.F. Thiele in Kupfer stechen) ließ.' 22

This gift acted as the lever for the writing of the work with, as Hitzig suggests, the sketches themselves acting as the framework of the tale. The sketches clearly made Hoffmann reflect on his poetic technique and the works of

the past. It is this fact which possibly offers us a clue to the subtitling of Prinzessin Brambilla with 'Ein Capriccio nach Jakob Callot' which is so close to the 'Callots Manier' of the Fantasiestücke.

Bonaventura Tecchi points out that it is also necessary to bear in mind that the tale was written in the intervening period between the two volumes of Kater Murr which in some respects also marks a return to the past in the resurrection of his greatest hero the Kapellmeister Kreisler.²³ It is for reasons of such a nature that it is possible to venture the hypothesis that, in some respects at least, Hoffmann towards the end of his life and with increasing ill health began to look back on the poetic creations of the past rather than forward to a new mode of expression. Tecchi also ventures the opinion that the writing of Kater Murr had opened up an old wound from the past, Julia Marc, and that the re-opening of this wound manifests itself in the reappearance of the motif of the 'Doppelgänger' and the resurgence of a latent schizophrenia in Hoffmann himself, a fact which is all too evident in his correspondence of the period which shows him to have been in a highly excitable state.²⁴

The reappearance of Johannes Kreisler also, in part, relativises the opinion that Prinzessin Brambilla marks the final abandonment of the musician in favour of the actor. Fundamentally, therefore, Prinzessin Brambilla is firmly in the mould of Hoffmann's earlier

works as Segebrecht points out:

'die "Prinzessin Brambilla" nannte Hoffmann ein "Capriccio nach Jakob Callot" und gab sie „mit acht Kupfern nach Callotschen Originalblättern" heraus. Wenn sich Hoffmann bisweilen auch nicht allzu gern lediglich als Verfasser seiner ersten Sammlung gesehen haben mag, so beweist doch allein schon die Anlage und Ausführung der "Prinzessin Brambilla", daß er an bestimmten, früh formulierten Erzählprinzipien sein Leben lang festgehalten hat, und wenn sogar einzelne Erzählungen aus den "Serapions-Brüdern", für die er doch ein eigenes Prinzip entworfen hatte, mit dem Etikett der "Fantasiestücke" erschienen, so zeigt das nur, daß hier nicht eine Poetik von einer anderen abgelöst worden ist'. 25

Although the central character in Prinzessin Brambilla is indeed an actor who, unlike Anselmus, as an artist progresses from failure to success, if one compares Giglio Fava and Anselmus we do indeed discover a number of similarities: thus, although Fava is an actor, both, prior to their moment of insight are bourgeois, boring and extremely normal. Both follow their chosen careers without ever reflecting on why they are doing so and both want to settle down with very normal women. The change in both of them is brought about as a result of a moment of insight which suddenly helps them to see what they had previously regarded as an unchangeable reality from a totally new perspective. This moment of insight does not, of course, immediately break the stranglehold of the world dream which still has them firmly within its grasp, but manifests itself initially in an increasing dissatisfaction with things they had previously regarded as desirable, filling them with an indefinable yearning to possess something outwith the sphere of normality.

Both are, however, chosen and become the representatives of artistic inspiration. What is being dealt with is not merely the perception of world duality but rather the means of harnessing this perception, turning it into the motive force of artistic representation. The means of overcoming the world dream is to be found in the 'versteckter Poet', a concept that Hoffmann borrowed from Schubert to objectify the intellectual ability of the creative individual to perceive the world from a new perspective, a perspective which can be used to confront and relativise normality. This perspective can be summed up as constituting the ironical viewpoint.

It is necessary to bear in mind that insight is not transcendence. While there has already been cause to seriously doubt the possibility of Anselmus' transfiguration in Atlantis if he wishes to be a creative artist, this is doubly true in Prinzessin Brambilla. Lothar Pikulik hints at the possibility of Anselmus and Giglio Fava emanating from the same archetype, namely that the deep structure of the fairy tales is the intellectual re-establishment of the lost harmony of all things, of the 'heiligen Einklangs aller Wesen' as formulated in Der goldne Topf.²⁷

While this harmony cannot be re-established in a permanent form, the certainty of everyday existence can be broken down. In Prinzessin Brambilla, however, we have the introduction of an intermediate sphere. What Hoffmann is attempting here is the development of a trend

in his works that began to emerge with Hoffmann's increasing familiarity with his method of representation and the reworking of themes. Increasingly the characters in Hoffmann's tales are downgraded in terms of their importance to the central message of the work. Characters become vehicles for the message which is the explication of the creation of a work of art. The intermediate sphere in Prinzessin Brambilla is the theatre, the symbol for the imaginative sphere which sits astride the spheres of the real and the ideal. But it is necessary to remember that in terms of the tale and Hoffmann's artistic intention, the theatre is a symbol. As a result it is difficult to concur with Jebesen's opinion that the actor in the theatre is the individual who can perceive the higher world, while at the same time grasping his own centre thereby uniting the centripetal and centrifugal forces of the psyche.²⁸

What Hoffmann is clearly trying to show in Prinzessin Brambilla is that anyone who can walk the tightrope between the two spheres will be an actor in a sphere of his own creation and this man is per se the creative artist.

Thus M.M. Raraty may well be correct when he maintains that depicting 'das fantastische Land der Poesie' is best achieved in the theatre but it would seem that this fact is subsidiary to the poetic intention of the story.²⁹

Similarly, it is difficult to concur with Jebesen when she writes:

'Der Humor in seinem Sinn aufgefaßt als Überblick über die menschliche Welt, setzt eine Sicherheit

des Ichs voraus, die seinen anderen Künstlern nicht gegeben ist. Sie waren in ihre eigene Situation verstrickt und fanden trotz der Erfahrung des "Unendlichen" nicht aus sich heraus.' 30

The reason for such doubts about the ascendancy of the actor over other artists is, as we have seen in the discussion of the earlier tales, that the truly creative artist in Hoffmann's oeuvre is the narrator.

In Die Serapions-Brüder, there is considerable evidence to suggest that Hoffmann, having become so conversant with the central problem of artistic creativity, no longer feels it necessary to give his heroes the stamp of individuality. Works thus become parodies of other works.³¹ Characters are reduced to the role of paper-cut-outs whose role is secondary to the work's structure. As suggested in Chapter I, what takes place in Hoffmann's oeuvre on an increasing scale is the downgrading of the hero when comparing it to pre-Romantic literature and the cancelling out of the expressive act by irony.³² Enmeshed in a fictional web the sole function of Hoffmann's characters is to underpin the narrator's attempt to engender insight in the reader, on which the success of the work depends. Thus irony and the arabesque of the fiction as expressed by the manifest fictionality of the story and character, have the effect of aiding the reader in distancing himself critically from his surroundings and perceiving its 'Scheincharakter'.³³

Both Giglio Fava and Giazinta are marionettes controlled by Celionati and Bescapi. At the same time,

however, while they have the power to manipulate the 'hero' and 'heroine', they themselves are manipulated by the imagination of the creator of the work. When we first meet Celionati selling his wares outside the palace of Pistoja, he manages to keep his audience transfixed by means of creations of the imagination. Celionati and not Giglio Fava is the true artist here. Yet, Celionati is also at the mercy of the narrator who causes him to lose his audience through the introduction to the work of the strange procession which enters the palace. Nevertheless, he manages to regain the attention of his audience by means of his own imagination. Using this procession as a lever, he creates Prinzessin Brambilla and Prince Cornelio Chiapperi as he later creates the tale of Ophioch and Liris and Urdarland. Ultimately though, he must do the bidding of his creator despite the fact that he realises that he is a participant in the work's fictionality. Thus he tells the German artists that he cannot tell them the second part of the tale of Ophioch and Liris because: 'als mich der Dichter erfand, hatte er ganz was anders mit mir im Sinn'.³⁴ Again Raraty correctly sees this technique of allowing a fictional character to point out his own fictionality as establishing a common identity between author and character.³⁵

Because of his higher state of awareness, Celionati represents the typical Hoffmann master character and is the symbol of the artist. He realises his own dependence and the relativity of any judgements about himself.

When the painter Reinhold tells Celionati that he considers him to be a true artist and a member of the 'invisible church', Celionati's response is characteristic of the fact that he considers it to be impossible to be certain about what is appearance and what is reality:

'„Was könnt", rief Celionati heftig, „was könnt Ihr von mir denken, mein Herr Maler, was könnt Ihr von mir meinen, vermuten, ahnen? - Wißt ihr alle denn so gewiß, daß ich hier unter euch sitze und unnützerweise unnützig Zeug schwatze über Dinge, von denen ihr alle gar nichts versteht, wenn ihr nicht in den hellen Wasserspiegel der Quelle Urdar geschaut, wenn Liris euch nicht angelächelt?"' 36

Thus we have the irony of a fictional character aware of his own fictionality espousing the problem of appearance and reality.

In the same way that Celionati's freedom to act is restricted by the fictional framework, so too is the author's in the external world. His omnipotence over his own creations is not total, a fact he himself admits, when the reader is told that he will have to put up with Celionati's fairy tale of Ophioch and Liris even though it is outside the sphere of events he wishes to narrate:

'Hier mußst du, sehr geneigter Leser! es dir also gefallen lassen, eine Geschichte zu hören, die ganz aus dem Gebiet derjenigen Begebenheiten zu liegen scheint, die ich dir zu erzählen unternehmen, mithin als verwerfliche Episode dasteht.' 37

Yet the use of 'Begebenheiten' and 'scheint' tells us that fact and appearance are not always what they seem:

'Wie es manchmal aber zu geschehen pflegt, daß man den Weg, der scheinbar irreleitete, rüstig verfolgend plötzlich zum Ziel gelangt, das man aus den Augen verlor, so möchte es vielleicht auch sein, daß diese Episode, nur scheinbarer Irrweg, recht

hineinleitet in den Kern der Hauptgeschichte.' 38

The interpreter who has dealt with the problem of appearance and reality in Prinzessin Brambilla in most detail is Robert Mühlher.³⁹ It is his opinion that the essence of the tale is to be found in mankind's unquestioning acceptance of reality, a reality which could with equal justification be the appearance of the world dream:

'So kreist Hoffmanns Capriccio um die Idee der Kunst überhaupt, die, ein Traum im allgemeinen Lebenstraum, die Aufgabe hat, den Träumer aus seinem wüsten Traum wachzurütteln und ihn aus der Fremde in die Heimat zu führen. Denn dieser Traum ist ja nur ein Schein-Leben. Das wahre Leben hingegen eröffnet sich dem Menschen erst nach dem Erwachen. Das existenzielle Ich wird aber nur gefunden, wenn sich der Träumer im Spiegel der Kunst als einem zweiten Traum erkennt und sich bewußt wird, daß er träumt. Auf dieser Voraussetzung ist das Werk erbaut.' 40

As Mühlher also points out, there is considerable philosophical justification for such a standpoint:

'Daß das Leben mit dem Traum große Ähnlichkeit hat, ist oft ausgesprochen worden. Hoffmanns philosophische Zeitgenossen haben diesen Gedanken in einer tiefsinnigen Methode zu neuer Geltung gebracht. So meinte Schopenhauer, man könne Kants transzendentalen Idealismus "als die deutlichste Darlegung dieser traumartigen Beschaffenheit unseres bewußten Daseins" auffassen. Auch Fichte spricht vom Weltentraum. Besonders die romantische Poesie hat diese Analogie von Leben und Traum bis zu Strindbergs "Traumspiel" in vielen Gestaltungen immer wieder darzustellen unternommen.' 41

If one takes this problem as Hoffmann deals with it in his oeuvre, we end up with the following model: Man's life consists basically of two states:

	dream	-	awake
	dream	-	reality
but if	reality	=	dream
then	dream	=	reality

therefore sleep dream	=	awake reality
and everyday reality	=	awake sleep
or conscious dream	=	reality
unconscious reality	=	world dream

Art, in Prinzessin Brambilla the theatre, is the dream mirror in which the ego can recognise itself. In other words, the reflection simultaneously shows man that what he has been perceiving is appearance, that he is the reflection in the mirror and yet that the observing subject is in fact the same as the reflection in the mirror and yet is not identical to it.

For the Romantic the function of art is to act as a mirror to make man aware of his dual nature and in so doing awaken him from a soporific state in which he acts out his life like an automaton or a marionette. Because they cannot perceive the totality of existence their actions are stylised and predetermined. We have encountered the automaton directly in Der Sandmann, where Olimpia acts as the antithesis of Nathanael's desire to break free from fixation. In Die Elixiere des Teufels, we encounter the image of the marionette in indirect form with Medardus the plaything of forces he cannot comprehend.

The most that can be achieved by man in his lifetime and by his fictional reduction, the character in the work of art, is comprehending the true nature of reality. Giglio Fava progresses towards such awareness in Prinzessin Brambilla. While initially the text makes the equation between marionette and actor, towards the end of the tale Fava becomes a vehicle for the artist

as the artist is the vehicle for art. However, a distinction still has to be made between the actor in general and the narrator's ideal of the actor. It is clearly the former about whom Robert Mühlher is writing when he defines the actor as vain:

'So ist der Schauspieler der eitle Mensch, die Verkörperung jenes Teils des Ich, das das Theater des Lebenstraumes inszeniert, der treibenden Kraft, die die Phantome des Lebenstraumes erzeugt. Wobei aber gerade das eitle Ich sich hinter seinen Phantomen verbirgt. Erst wenn der Träumer aufwacht merkt er, daß in jedem einzelnen Traumphantom stets nur das eine Ich in wechselnder Kostümierung und Inszenierung auftrat. Dieses Ich führt das Scheintheater unseres bewußten Daseins auf. Das Schauspieler-Ich, Gaukler-Ich ist der Hauptdarsteller und zugleich Theaterdichter des Lebensschauspiels.' 42

The 'Schauspieler-Ich', however, is not the prerogative of the actor, it is the essential faculty required to apprehend the 'Scheincharakter' of existence as a result of the subjective transformation of sense data.

The text's representative of such insight is of course Celionati who has completed the journey that Giglio Fava has only embarked upon. To use Mühlher's words, it is the function of art to bring the experiencing subject to the realisation that he is in fact the 'Hauptdarsteller und Theaterdichter des Lebensschauspiels!'. It is not only Fava who is attempting to become an 'aware' actor, however, for if the work is to be judged an artistic success it must also raise the consciousness of the reader.

In Prinzessin Brambilla, Hoffmann uses the popularisation of Idealist philosophy of the early works, and combines it with the reduction in the importance of the individuality of the character, the centre of gravity

of the tale being weighted to more active reader participation. In the attempt to make the reader the co-creator of the work in Prinzessin Brambilla, Hoffmann comes close to fulfilling the aesthetic demands of Friedrich Schlegel and Solger although the degree to which this is a conscious fulfilment must remain open to dispute. Paradoxically, it is precisely in this fulfilment of the demands necessary for a work to be classed as Romantic by Schlegel and Solger that we also find Hoffmann's modernity, and yet it is not the modernity of a shift towards Realism, but rather a modernity rooted in Romantic aesthetics and which was later resurrected by the Modernists.

Again, according to Mühlher, the point is made that there are two levels of theatre as there are two levels of actor. The lower level in which Giglio Fava acts, merely reproduces the superficiality of the everyday. The higher level is occupied by the theatre which serves to further the negation of everyday superficiality by actively encouraging critical reflection:

'Hoffmann stellt zwei Möglichkeiten des Theaters einander gegenüber. Das eine spielt Stücke, die das gewöhnliche Leben verzuckert und verharmlost spiegeln. Aber dieser Trauspiegel vermag den Träumer nicht aufzuwecken. Es muß daneben noch eine zweite Art von Theater geben, die imstande ist, diese Aufgabe zu erfüllen.' 43

In addition to the two levels of theatre, the narrator also refers to the two levels of art in general, ie. mimetic and Romantic. The theatre in which Giglio Fava performs is the theatre of the former, the reproduction

of the world dream. The true theatre and by definition the Romantic theatre, however, is the palace of Pistoja.⁴⁴

The instrument of mediation between the two spheres is the carnival, a form of concretised irony. It is the function of the carnival to break down the individual certainty about the reality of appearance and the appearance of reality. Man's certainty about his persona is undermined by the relativity of the mask. The mask is the symbol of dualism and the individual who has perceived the world dream is subject to its dualism. Thus the base on which the ego constitutes itself; identity, is shown to be as stable as quicksand. Fava's response is characteristic of the individual who has momentarily perceived the nature of the world dream:

'Es ist nur zu gewiß...entweder liege ich jetzt im Traum, oder ich habe die ganze Zeit über den verwirrtsten Traum geträumt'. 45

The narrator in another of his intrusions also attempts to convey to the reader the feelings of someone who has just perceived the relativity of reality by asking the reader to imagine himself in such a situation and once again involves him in it:

'Fragen will ich dich daher lieber, ob dir niemals in deinem Leben ein seltsamer Traum aufstieg, dessen Geburt du weder dem verdorbenen Magen, noch dem Geist des Weins, oder des Fiebers zuschreiben konntest? aber es war, als habe das holde magische Zauberbild, das sonst nur in fernen Ahnungen zu dir sprach, in geheimnisvoller Vermählung mit deinem Geist sich deines ganzen Innern bemächtigt, und in scheuer Liebeslust trachtetest und wagtest du nicht, die süße Braut zu umfassen, die im glänzenden Schmuck eingezogen in die trübe, düstre Werkstatt der Gedanken...

Half es, daß du aus dem Traum erwachtest? -
 Blieb dir nicht das namenlose Entzücken, das
 im äußern Leben, ein schneidender Schmerz,
 die Seele durchwühlt, blieb dir das nicht zu-
 rück? Und alles um dich her erschien dir öde,
 traurig, farblos? und du wähtest, nur jener
 Traum sei dein eigentliches Sein, was du aber
 sonst für dein Leben gehalten, nur der Mißverstand
 des betörten Sinns?' 46

The above quotation, as well as raising the
 existence of a higher sphere, also carries the implicit
 warning that this dream cannot be dreamt eternally because
 the individual is also tied to the finite world. The
 artist must be content with the apprehension of the existence
 of both realms. Anselmus' behaviour in Der goldne Topf
 was judged by his fellow men to be a sign of insanity.
 Similarly Giglio Fava's eccentric behaviour after his
 perception of the ideal is also seen as an indication of
 his increasing mental instability and Signor Pasquale,
 'der dicke Hauswirt' and the representative of the
 world dream warns him:

'Signor Giglio, ich weiß, wie es mit Euch steht;
 ganz Rom hat erfahren, wir ihr von der Bühne
 abtreten müssen, weil es Euch im Kopfe rappelt -
 Geht zum Arzt, geht zum Arzt, laßt Euch ein paar
 Pfund Blut abzapfen, steckt den Kopf ins kalte
 Wasser!' 47

Society's judgement is swift and clear and the link is
 established between leaving the stage and his insanity.
 Leaving the theatre is thus synonymous with leaving the
 stage of appearance.

Despite the fact that Giglio Fava is ostracised
 by society, he can find no home in the palace of Pistoja.
 We have already had cause to mention that Anselmus'

transfiguration in Atlantis should not be regarded as a viable possibility for the creative artist. Thus in the face of more traditional interpretations both McGlathery and Tatar have suggested that there is considerable evidence in Der goldne Topf for the hypothesis that Anselmus either loses his sanity or commits suicide.⁴⁸ While such a conclusion must remain a matter for speculation, it is an incontestable fact that nowhere does Hoffmann allow his artist figures to find a permanent home in the realm of the imagination, unless he himself undermines their credibility. When Anselmus finds it impossible to live up to the degree of perfection demanded of him by Lindhorst he ends up encased in a bottle. The bottle, a symbol of confinement, cuts him off mentally from a world in which - like it or not - he must live. Liese's curse 'bald dein Fall - ins Kristall?' could, therefore, be taken to mean that he will be cut off from the world in which he lives, ostracised and judged insane by his fellow citizens and remain an artistic failure. Fava after entering the palace of Pistoja ends up imprisoned in a cage. Cut off from the outside world, he hangs in the window suspended between the two spheres. Still able to see the outside world he can no longer enter it as a result of too much inwardness.⁴⁹

Fava is saved by Celionati who climbs up an invisible ladder, a graphic portrayal of Hoffmann's image of the 'Himmelsleiter' attached to the 'real' world. It

is the mistaken belief that Atlantis, Urdarland or any other of Hoffmann's mythical realms represent a viable possibility for the artist to achieve permanent transcendence that can lead to their overvaluation.

The perception of the ideal or 'Genius', symbolises the first stage in becoming aware of the world dream. The motif of the mythical realm is, as mentioned previously, the result of the influence of Romantic philosophy in general and Schubert in particular. While, however, Schubert believed in the historical existence of such a Golden Age, for Hoffmann its importance lay in the fact that it was a symbol for the unconscious and hence the home of the imagination. As a direct result of his immersion in the early psychological theories of the time and the phenomenon of mesmerism, Hoffmann became convinced that there was indeed a wellspring of the imagination in the unconscious, a hidden store of knowledge which manifested itself in archetypes and which could be tapped by the artist. Whether or not this was based on some kind of anamnesis of an historically verifiable civilization in the past was of less interest to him. Be that as it may, Hoffmann found great value and considerable artistic mileage in the Schubertian conception of the 'versteckter Poet', which when awakened correctly can reveal to the individual the language of a higher world.

After Hoffmann had used Schubert's conception of the Golden Age in Der goldne Topf, and then made clear in this work plus a number of others that, in fact, it

should be understood as a mental realm, its continued inclusion in his tales becomes, in a sense, redundant, but nevertheless he continues to include it. As a result, Prinzessin Brambilla, once again contains a surrogate Atlantis in the form of Urdarland. The continued use of these ideal realms in his stories could lead one to venture the opinion that this is an example of Hoffmann reusing motifs for reasons of authorial convenience or, perhaps, it is an example of Hoffmann trapped in his own mythology, having to reproduce what his readership expects of him. Bearing in mind, however, the increasing downgrading of the character in his tales, it is likely that Hoffmann's use of these realms in his tales when they are no longer required by the narrative represents a further level of ironisation.

A corollary of all this is that the interpreter should beware of over-interpreting the Urdarland sequences in Prinzessin Brambilla, at the expense of the poetic message of the narrative. A close reading of the text in fact reveals that the scene at the end of the tale when Giglio and Giazinta gaze into the waters of the Urdar lake, has already been pre-empted in Chapter VI, a scene which has only received scant attention by interpreters of the tale and yet lies at the core of the artistic message.

The chapter begins with Giglio and Giazinta dancing together. Both have changed their identity, each thinks the other is someone else. The scene, and the term scene is particularly appropriate, has broken away from traditional

narration and takes the form of dramatic dialogue. In addition, the characters are finally divested of all individuality and referred to only as 'he' and 'she'. Thus, the depersonalisation of the character in the interests of the artistic message is taken to its logical conclusion.

Working from the premise that the dance takes place between the ideal and the person who perceives it, then the dialogue between the two dancers not only provides the key to the story, but also to the problem of world dualism and is a clear exposition of Hoffmann's aesthetics. It is because of the importance of this section that the conversation has been reproduced in full:

'Sie: Drehe dich, drehe dich stärker, wirble rastlos fort, lustiger toller Tanz! - Ha wie so blitzesschnell alles vorüberfliehet! Keine Ruhe, kein Halt! - Mannigfache bunte Gestalten knistern auf, wie sprühende Funken eines Feuerwerks und verschwinden in die schwarze Nacht hinein. - Die Lust jagt nach der Lust und kann sie nicht erfassen, und darin besteht ja eben wieder die Lust. - Nichts ist langweiliger, als festgewurzelt in den Boden jedem Blick, jedem Wort Rede stehen zu müssen! Möcht deshalb keine Blume sein; viel lieber ein goldner Käfer, der dir um den Kopf schwirrt und sumset, daß du vor dem Getöse deinen eignen Verstand nicht zu vernehmen vermagst! Wo bleibt aber auch überhaupt der Verstand, wenn die Strudel wilder Lust ihn fortreißen? Bald zu schwer zerreißt er die Fäden und versinkt in den Abgrund; bald zu leicht fliegt er mir auf in den dunstigen Himmelskreis. Es ist nicht möglich, im Tanz einen recht verständigen Verstand zu behaupten; darum wollen wir ihn lieber, solange unsere Touren, unsere Pas fort dauern, ganz aufgeben. - Und darum mag ich dir auch gar nicht Rede stehen, du schmucker, flinker Geselle! - Sieh, wie dich umkreisend ich dir entschlüpfe in dem Augenblick, da du mich zu erhaschen, mich festzuhalten gedachtest! - Und nun! - und nun wieder! -' 50

If this is a monologue by and about the ideal, 'Genius', 'versteckter Poet', then what we have in the above

passage is a succinct condensation of Hoffmann's and the Romantic world view in symbolic and allegoric form. In the dance the ideal dances around the partner while he simultaneously dances around the ideal. The movements circumscribe the greater and smaller circles, the external and the mental spheres. The collision between the representatives of the real and the ideal produces sparks - here a metaphor for the insights resulting from the perception of the ideal - which disappear into the darkness like fireworks. Their momentary nature underlines the fact that these insights cannot be retained. They return to their point of origin in the imagination. Yet the yearning produced by the fact that they cannot be retained can lead to critical reflection which in turn produces new insights. Being rooted to the earth like a flower is seen as a symbol of confinement, it does not permit the individual to fly. In contrast to this we have the image of the golden beetle - the scarab, the Egyptian symbol of resurrection is a source that springs to mind here. The golden beetle, unlike the flower, can fly and the buzzing created by its wings has the effect of drowning out the working of the intellect which, as we know from Schubert, is the reason man was cast out of Paradise. Yet man is not the golden beetle, it flies around his head. But what happens to man's intellect which is there and cannot be made to disappear? There are two options: either it has such a firm hold on the imagination that despite the effect of the beetle's buzzing

it drags man back to rationality and the world dream, breaking the thread that connects him to a higher level of experience, or its hold is too weak and it allows the intellect to fly up into the hazy realm of pure imagination. Here, as we have seen, man cannot be creative either, but like Ritter Gluck can only dream the dream in the realm of dreams. Or, is there a third possibility for man to unite the circles of the real and the ideal that circumscribe his existence?

'Er: Und doch! - nein, verfehlt! - Aber es kommt nur darauf an, daß man im Tanz das rechte Gleichgewicht zu beobachten, zu behalten versteht. - Darum ist es nötig, daß jeder Tänzer etwas zur Hand nehme, als Äquilibrierstange; und darum will ich mein breites Schwert ziehen und es in den Lüften schwenken - So! - Was hältst du von diesem Sprunge, von dieser Stellung, bei der Ich mein ganzes Ich dem Schwerpunkt meiner linken Fußspitze anvertraue? - Du nennst das närrischen Leichtsinns; aber das ist eben der Verstand, von dem du nichts hältst, unerachtet man ohne denselben nichts versteht und auch das Äquilibrium, das zu manchen Dingen nütze! - Aber wie? - von bunten Bändern umflattert, wie ich, auf der linken Fußspitze schwebend, das Tambourin hoch emporgehoben, verlangst du, ich solle mich begeben alles Verstandes, alles Äquilibriums? - Ich werfe dir meinen Mantelzipfel zu, damit du geblendet, strauchelnd mir in die Arme fällst! - Doch nein, nein! sowie ich dich erfaßte, wärest du ja nicht mehr - schwändest hin in nichts. Wer bist du denn, geheimnisvolles Wesen, das aus Luft und Feuer geboren der Erde angehört und verlockend hinausschaut aus dem Gewässer! - Du kannst mir nicht entfliehen. Doch - du willst hinab, ich wähne dich festzuhalten, da schwebst du auf in die Lüfte. Bist du wirklich der wackre Elementargeist, der das Leben entzündet zum Leben? Bist du die Wehmut, das brünstige Verlangen, das Entzücken, die Himmelslust des Seins? - Aber immer dieselben Pas - dieselben Touren! Und doch, Schönste, bleibt ewig nur dein Tanz und das ist gewiß das Wunderbarste an dir-'. 51

Here then a third possibility, a possibility which avoids either of the previously mentioned extremes and

represents the only possibility for the artist to be creative, utilising the insights gained as a result of the working of the imagination while at the same time maintaining his balance in the world of appearance by keeping at least one foot on the ground. Celionati has this ability, as do a number of other 'master figures' including Meister Abraham. Hoffmann makes this state of balance clearer through his use of the concepts of tone and rhythm. Tone represents the music of the spheres, the direct link to a higher world. Tone, however, unless structured, becomes uncontrolled, like Kreisler's playing or Gluck's compositions and eventually dissipates into nothingness. Tone is controlled by rhythm which makes composition possible. Rhythm, the structuring of the imagination, is represented by the 'Aquilbrierstange'.⁵²

Following from this, the central symbol of Prinzessin Brambilla is not the Urdar lake which, like so much in the fairy tale of Ophioch and Liris, consists of borrowed motifs from Schubert and Gozzi, but the circle. The symbol of the inner and the external circle representing the ideal and the real is the dominant symbol of the tale. The meaning of this symbol becomes clear only when seen in conjunction with Kater Murr, which, as has been mentioned, chronologically straddles Prinzessin Brambilla and in which the symbol of the circle also represents a key to the understanding of the work.⁵³

Kreisler's excited mental state is a direct result of his apprehension of the collision of the internal

and external circles. The reader is prepared for the fact that the circle is the central symbol of the novel by the very fact of the 'Kapellmeister's' name. Whether the circle is an important symbol in Hoffmann's earlier works is open to debate. Certainly Kreisler already appears in the Fantasiestücke in Callots Manier and there are numerous references to the circle. Similarly Nathanael's death in Der Sandmann is also linked to the motif of the circle:

'Nun raste Nathanael herum auf der Galerie und sprang hoch in die Lüfte und schrie, "Feuerkreis dreh dich - Feuerkreis dreh dich". 54

Thus, although the circle as a symbol for man's existential dilemma appears not to be a new theme in Hoffmann's work, it is central to Prinzessin Brambilla and Kater Murr. Thus in the first volume of the latter work we hear Kreisler telling Benzon:

'Es ist ganz unmöglich, Vortreffliche! daß Sie meines Namens Abstammung in dem Worte Kraus finden, und mich, nach der Analogie des Wortes Haar-kräusler, für einen Tonkräusler, oder gar für einen Kräusler überhaupt halten können, da ich mich alsdann eben Kräusler schreiben müßte. Sie können nicht wegkommen von dem Worte Kreis, und der Himmel gebe, daß Sie denn gleich an die wunderbaren Kreise denken mögen, in denen sich unser ganzes Sein bewegt, und aus denen wir nicht herauskommen können, wir mögen es anstellen wie wir wollen. In diesen Kreisen kreiselt sich der Kreisler, und wohl mag es sein, daß er oft, ermüdet von den Sprüngen des St. Veits-Tanzes, zu dem er gezwungen, rechtend mit der dunklen unerforschlichen Macht, die jene Kreise umschrieb, sich mehr als es einem Magen, der ohnedies nur schwächerlicher Konstitution, zusagt, hinaussehnt ins Freie. Und der tiefe Schmerz dieser Sehnsucht mag nun wieder eben jene Ironie sein, die Sie Verehrte! so bitter tadeln, nicht beachtend, daß die kräftige Mutter einen Sohn gebär, der in das Leben eintritt wie ein gebietender König.' 55

Later we are told that the world of the imagination that

stems from the unconscious ('innere Erscheinungen') can only make itself manifest by means of the external phenomena which encircle the individual ('äußere Erscheinungen').

It is Kreisler's curse, in Kater Murr, a curse shared with all Hoffmann's artist heroes, that he cannot attain the necessary balance between the two. The Abbot of the monastery to which Kreisler flees is also aware of the necessity for balance and tells him so:

'Nur die Einsamkeit, ein einförmiges Leben ohne feindliche Unterbrechung und vor allem das stete freie Aufschauen zur Lichtwelt, der sie angehören, kann das Gleichgewicht herstellen und sie im Innern eine überirdische Zufriedenheit fühlen lassen.' 56

However, the Abbot's advice on how to achieve this equilibrium is no use to the artist who cannot shut out the external circle of appearance if he wishes to be creative as we have seen in the case of Medardus.

In Prinzessin Brambilla, the motif of the circle is first used in the dance scene but is reintroduced at the end of Chapter VII when we are told:

'Die Dame schien es abgesehen zu haben auf den Capitan Pantalon; denn geschickt wußte sie ihn einzukreisen, so daß es schien, er könne ihr nicht ausweichen und doch wand er sich heraus und setzte seinen gravitatischen Spaziergang fort.' 57

Fava has now passed through a number of stages: awakened from the world dream as a result of the perception of his ideal, he now oscillates between two forms of existence; the prosaic, miserable actor Giglio Fava and the product of the workings of his imagination, Prince Cornelio Chiapperi.⁵⁸ All that he now requires is balance between

the two, something which, as we have seen in the dance, he achieves with the help of the 'Äquilibrierstange', a wooden sword, the symbol of ironical distance. Fava's journey is now complete, his gaze into the Urdar lake no more than an embellishment, a final ratification:

'Es begab sich, daß das Liebespaar, nämlich der Prinz Cornelio Chiapperi und die Prinzessin Brambilla, aus der Betäubung erwachten, in die sie versunken und unwillkürlich in den klaren spiegelhellen See schauten, an dessen Ufer sie sich befanden. Doch wie sie sich in dem See erblickten, da erkannten sie sich erst, schauten einander an, brachen in ein Lachen aus, das aber nach seiner wunderbaren Art nur jenem Lachen König Ophiochs und der Königin Liris zu vergleichen war, und fielen dann im höchsten Entzücken einander in die Arme.' 59

The laughter is aimed at themselves for they had yearned for something they could never possess. Thus the laughter is ironical.

Their realisation that they are not a prince and a princess also causes Urdarland to disappear; it is what it always was, a castle in the air, an imaginative creation. Significantly we are transported back from the mythical imaginary realm straight back to the world of the everyday, but more than this, what the reader now sees is the audience leaving the theatre after a performance. Thus, both the reader and the audience have been watching Giglio and Giazinta on the stage.

The Prince of Pistoja's, alias Celionati's, explanation at the end of the 'Märchen' is similarly enlightening:

'In der kleinen Welt, das Theater genannt, sollte nämlich ein Paar gefunden werden, das nicht allein von wahrer Fantasie, von wahrem Humor im Innern beseelt, sondern auch imstande wäre, diese Stimmung

des Gemüts objektiv, wie in einem Spiegel, zu erkennen und sie so ins äußere Leben treten zu lassen, daß sie auf die große Welt, in der jene kleine Welt eingeschlossen, wirke, wie ein mächtiger Zauber. So sollte, wenn ihr wollt, wenigstens in gewisser Art das Theater den Urdarbronnen vorstellen, in den die Leute kucken können !60

What the reader is presented with in Prinzessin Brambilla is the genesis of a work of art with author and reader playing a creative role. The reader has been sitting in on a kind of theatre performance, the aim of which was to fire the imagination, ignite the promethean spark and bring about the perception of the ideal and the world of the inner circle while retaining awareness of the external circle:

'Unmöglich wird sich der geneigte Leser darüber beschweren können, daß der Autor ihn in dieser Geschichte durch zu weite Gänge hin und her ermüde. In einem kleinen Kreise, den man mit wenigen hundert Schritten durchmißt, liegt alles hübsch beisammen: der Korso, der Palast Pistoja, der Caffè greco u.s.w., und, den geringen Sprung nach dem Lande Urdargarten abgerechnet, bleibt es immer bei jenem kleinen, leicht zu durchwandelnden Kreise.' 61

As a result, Prinzessin Brambilla is Hoffmann's clearest attempt to deal with the problem of artistic creativity by means of the conscious portrayal of the creation of a world of art, a world in which the reader is invited to take part. The conclusions to be drawn from a reading of the story are, therefore, not that it primarily represents the ironisation of the Romantic world view, a 'Weltanschauung' he no longer considers relevant or viable, but rather that:

- 1) The poetic imagination cannot retreat from the world of appearance.

- 2) The imagination must break free from the stranglehold exercised over it by the world dream if it is to be creative.
- 3) The work of art can only substantiate itself as a result of a free interplay between the real and the ideal.
- 4) To be able to do this the artist must attempt to balance the two antithetical drives within himself.
- 5) This balance can only be achieved with the aid of the tight-rope walker's pole.
- 6) This 'Äquilibrierstange' is in fact Romantic irony which is the result of the realisation that the ideal exists but cannot be possessed but which in turn, as a result of the relativisation of the prosaic, makes further insight possible.
- 7) The work of art can only constitute itself via an experiencing subject who is both the main character and the extended author of the work.

The fictionality of the work means that on the one hand the world represented in the literary text does not compel the reader to utilise his imagination immediately: the conditions have to be correct, and for the Romantic the success or failure of the work of art hinges on this fact. On the other hand the world represented in the text must be related to the everyday life of the reader, inasmuch as a fictional world can only be constructed when the reader utilizes his own conceptions and experiences during the understanding process. Here we perhaps find

a justification for Hoffmann's adherence to the 'Wirklichkeitsmärchen':

'Es darf dir, vielgeliebter Leser, nicht befremdlich erscheinen, wenn in einem Ding, das sich zwar Capriccio nennt, das aber einem Märchen so auf ein Haar gleicht, als sei es selbst eins, viel vorkommt von seltsamem Spuk, von träumerischem Wahn, wie ihn der menschliche Geist wohl hegt und pflegt, oder besser, wenn der Schauplatz manchmal in das eigne Innere der auftretenden Gestalten verlegt wird. - Möchte das aber nicht eben der rechte Schauplatz sein? - Vielleicht bist du, o mein Leser! auch so wie ich, des Sinnes, daß der menschliche Geist selbst das allerwunderbarste Märchen ist, das es nur geben kann. - Welch eine herrliche Welt liegt in unserer Brust verschlossen!' 62

The blending of the real and the fantastic remains a cornerstone of Hoffmann's aesthetics. If the author is to involve the reader, he must provide him with points of focus in the same way that he himself must use the objects of the external circle to represent the creations of the imaginative process.

In Des Vetters Eckfenster, Hoffmann deals with the phenomena of the external circle mentioned above. Written in 1822, it was first published in Der Zuschauer. Zeitblatt für Belehrung und Aufheiterung No. 49-54 and dated the 23., 25., 27, and 30. April and 4. May 1822. Des Vetters Eckfenster is therefore one of Hoffmann's last works before his death on the 25th June 1822:

'Was Hoffmann übrigens in den letzten Monaten und Wochen dictirt, ist, zuerst: Meister Wacht, sodann: des Vetters Eckfenster, ferner: die Genesung; endlich: den Feind, - Fragment; da er fast im Dictiren dieser Novelle gestorben.' 63

Critical reception of this work is almost unanimously positive. Over and above this, it is often seen as Hoffmann's most 'realistic' work and, had he lived, the

shape of things to come. Even Müller-Seidel in the introduction to the footnotes of Des Vetters Eckfenster writes:

'Die Erzählung ist in der Tat, wie allgemein anerkannt, ein später Höhepunkt in des Dichters Schaffen. Ihre Poetik vereinigt „Callots Manier“ und das „Serapiontische Prinzip“ in organischer Weise und öffnet sich der realistischen Verfahrensweise, an die erst das spätere 19. Jahrhundert wieder anknüpfte.' 64

Ellinger voices the opinion that as well as representing one of Hoffmann's greatest poetic achievements, an important factor in the story is the almost total disappearance of any bizarre or grotesque elements.⁶⁵ Willimczik continues in this vein and tells us the tale 'hat ihren höchsten Sinn in einer Beseelung des alltäglichen Lebens'.⁶⁶ And Jebesen entitles the last chapter of her thesis, which is devoted to Des Vetters Eckfenster, 'Der Einklang mit der Wirklichkeit'.⁶⁷

There is indeed a noticeable absence of the usual fantastic and grotesque elements one has come to expect in Hoffmann's works, however, it is necessary to bear in mind that there are other tales in Hoffmann's oeuvre which are devoid of the grotesque and the fantastic.⁶⁸ Similarly, when Hoffmann tells us in Prinzessin Brambilla that 'der menschliche Geist selbst' is the 'allerwunderbarste Märchen' why should we believe Willimczik's theory of the 'Beseelung des alltäglichen Lebens' as this would involve a cataclysmic change in world view in the space of less than two years.

It is also not possible to concur with Lothar Köhn's conclusions. In Köhn's opinion the Vetter's

imagination is as active as ever. The problem he is confronted with is that he can no longer objectify the visions emanating from the workings of his imagination. Rather than seeing this as the exposition of the cardinal problem of creativity for the Romantic; the problem of 'Einsicht' and 'Darstellung', however, Köhn interprets this as evidence of a shift towards Realism:

'Unmöglich geworden ist also das Erzählen Serapions, der das "glühende Leben" aus seinem Innern hervortreten läßt.' 69

Köhn then tells us that the narrator visits the 'Vetter' at the exact moment when he overcomes his crisis:

'Die Rettung kam von außen, von der festen Wirklichkeit... und an die Stelle des innern Lebens tritt die Beobachtung der Erscheinungswelt, das "bunte Leben" auf dem Marktplatz, das die schöpferische Kraft neu erweckt.' 70

It is only necessary to bear in mind the importance of the external circle in Prinzessin Brambilla and in Hoffmann's other works to see that Köhn is wrong here. The external phenomena are important in Des Vetters Eckfenster, but no more so than in Hoffmann's other works. It is necessary for the poet to use the objects of the 'real' world to be able to represent the internal visions which incorporate the core of the artistic message.

Jebsen is correct when she says of Hoffmann in Die Serapions-Brüder, 'Er verwendet nur die Problematik seiner Künstlernovellen in ironischer Weise weiter',⁷¹ She is also correct when she says that the one thing that interested Hoffmann above all others in later life was the genesis of the work of art. However, this again

is not evidence for a shift towards Realism on Hoffmann's part because the problem being dealt with in Des Vettters Eckfenster is the creation of the work of art and not the power of the imagination. As we have seen, the imagination has to be translated into concrete symbols and, as always in Hoffmann's works, this is the function of reality.

The 'Vetter's' problem as stated by the narrator on the first page of the tale casts serious doubt on whether the illness that is afflicting him is in fact physical:

'Doch eben dieser unbesiegbare Hang zur Schriftstellerei hat schwarzes Unheil über meinen armen Vetter gebracht; die schwerste Krankheit vermochte nicht den raschen Rädergang der Fantasie zu hemmen, der in seinem Innern fortarbeitete, stets Neues und Neues erzeugend. So kam es, daß er mir allerlei anmutige Geschichten erzählte, die er, des mannigfachen Wehs, das er duldete, unerachtet, ersonnen. Aber den Weg, den der Gedanke verfolgen mußte, um auf dem Papiere gestaltet zu erscheinen, hatte der böse Dämon der Krankheit versperret. Sowie mein Vetter etwas aufschreiben wollte, versagten ihm nicht allein die Finger den Dienst, sondern der Gedanke selbst war verstoben und verflogen.' 72

The vocabulary used here is all too familiar to the reader of Hoffmann and reminds one of Hoffmann talking about the Fantasiestücke in Callots Manier, in a letter to Kunz:

'In Eil füge noch hinzu, daß in dem Aufsatz: Jacques Callot, recht eigentlich der Zusatz auf dem Titel: in Callots Manier, erklärt ist, nemlich: die besondere subjektive Art wie der Verfasser die Gestalten des gemein(en) Lebens anschaut und auf-faßt'. 73

Similarly, if we look at a letter to Hippel dated 11.-14. May 1804 we can see that Hoffmann's style and the importance

of the external circle for the writer is already typical of his oeuvre and remains fundamentally unchanged throughout his creative life:

'Dicht unter meinem Fenster entstanden zwischen drey Mehlweibern, zwey Karrenschiebern und einem SchifferKnechte einige Differenzien, alle Partheyen plaidirten mit vieler Heftigkeit an das Tribunal des Höckars, der im Gewölbe unten seine Waaren feil bietet - Während der Zeit wurden die Glocken der PfarrKirche - der Benonnen - der Dominikaner-Kirche (alles in meiner Nähe) gezogen - auf dem Kirchhofe der Dominikaner (gerade über mir) prügelten die Hoffnungsvollen Katechumenen zwey alte Pauken, wozu vom mächtigen Instinkt getrieben die Hunde der ganzen Nachbarschaft bellten und heulten - in dem Augenblick kam auch der Kunst-reiter Wambach mit JanitscharenMusik ganz lustig daher gezogen- ihm entgegen auf der neuen Straße eine Heerde Schweine - Große Friction in der Mitte der Straße - sieben Schweine werden übergeritten! Großes Gequike. - O! - O! - ein Tutti zur Qual der Verdammten ersonnen! - Hier warf ich Feder - Papier bey Seite, zog Stiefeln an und lief aus dem tollen Gewirre heraus durch die Krakauer Vorstadt - durch die neue Welt - Bergab!' 74

The 'Vetter's' illness is not merely the fact that he is paralysed, it is a mental problem; the causal intellectual connection between the internal and external circles has broken down. Once again we are back to the problem of 'Einsicht' and 'Darstellung', concepts which can almost be regarded as termini in Hoffmann's work. Thus when the 'Vetter' compares himself to a mad artist standing in front of an empty canvas, we find ourselves back in the world of Der Artushof.

Although the narrator's cousin lives in a garret in the true style of the artist, we are told that his imagination shapes its own habitat:

'Was tut die niedrige Stubendecke? die Fantasie fliegt empor, und baut sich ein hohes, lustiges

Gewölbe bis in den blauen glänzenden Himmel hinein.
 So ist des Dichters enges Gemach, wie jener zwischen
 vier Mauern eingeschlossene zehn Fuß ins Gevierte
 große Garten, zwar nicht breit und lang, hat aber
 stets eine schöne Höhe.' 75

If his imagination is fully operative, the 'Vetter's' garret
 can be transformed into a 'Palmbaumzimmer'.

The 'Vetter's' creative problem is that he can
 no longer portray his visions; as a result, he has decided
 to withdraw from life, to become a hermit:

'ich geb's auf, das wirkende schaffende Leben,
 welches zur äußern Form gestaltet aus mir selbst
 hinaustritt, sich mit der Welt befreundend! -
 Mein Geist zieht sich in seine Klause zurück!' 76

If, however, his 'Geist' is retreating back into its shell,
 like Serapion's, then this presupposes that previously it
 has been out in a free interplay with external phenomena.
 Thus, although Köhn's opinion: 'Die Rettung kam von außen,
 von der festen Wirklichkeit',⁷⁷ is correct in this par-
 ticular instance, he is not correct when he sees this as
 something new: as a result, his judgement that:

'an die Stelle des innern Lebens tritt die
 Beobachtung der Erscheinungswelt, das „bunte
 Leben“ auf dem Marktplatz, das die schöpferische
 Kraft neu erweckt'. 78

is false. It is not a question of one replacing the other
 it is necessary for the poet to maintain contact with both
 the realm of the imagination and the external realm. It
 is necessary to walk the tightrope between the two and
 should the artist swing in the direction of one or the
 other the end result is an interruption of his creativity.

To forsake the internal world for the external
 would lead to another crisis for the 'Vetter', he would be

prosaic. We have already seen in Die Serapions-Brüder that it is necessary for the author to have 'seen' (Hoffmann uses the verb 'schauen') what he is attempting to portray. This 'seeing' does not only mean having apprehended something with one's eyes ('sehen'), but involves a simultaneous assimilation of the external and its internal transformation. As a result of his illness, be it physical, metaphorical or both, the poet has lost the ability of experiencing the external, and as a result has lost the opportunity of transforming his visions into concrete phenomena which make up the structure of the work of art, and simultaneously has lost the lever instrumental in setting off the working of the imagination.

The 'Vetter's' recovery is determined by his ability to leave the confinement of his bed - also the symbol of mental confinement: Fava in his cage and Anselmus in the bottle spring to mind - to see the 'real' world, which in turn makes it possible to create. The fact that he can move no further than the window is no impediment. The analogy can be drawn between the 'Vetter's' seat at the window and the theatregoer in his box, both interpreting and creating the theatre of reality and the theatre of art. This analogy is further reinforced by the fact that the market place is dominated by the theatre, thus representing the duality of art and reality. Therefore, the limited perspective proves to be totally adequate in the same way that, as the narrator points out, the perspective of Prinzessin Brambilla is limited and dominated by the

palace of Pistoja.

The 'Vetter' can justifiably claim,

'Aber dies Fenster ist mein Trost, hier ist mir
das bunten Leben aufs neue aufgegangen, und ich
fühle mich befreundet mit seinem niemals rastenden
Treiben.' 79

However, when he says that he has regained his perception of 'das bunte Leben', he uses 'aufs neue' which refers not to something new but to something regained.

In the same way that the poet cannot allow himself to wallow in the creations of his imagination to the exclusion of the external, he must not allow himself to be seduced by the 'niemals rastenden Treiben' of the external sphere. It is the narrator who is the first to find the throng of people in the market square tiring and dizzying:

'daß der Anblick zwar recht artig, aber auf die
Länge ermüdend sei, ja wohl gar aufgereizten
Personen einen kleinen Schwindel verursachen
könne der dem nicht unangenehmen Delirieren des
nahenden Traums gliche'. 80

The 'Vetter's' technique, however, is not to look at the whole but to pick out parts of the totality:

'Vetter, Vetter! nun sehe ich wohl, daß auch nicht
das kleinste Fünkchen von Schriftstellertalent in
dir glüht. Das erste Erfordernis fehlt dir dazu,
um jemals in die Fußstapfen deines würdigen lahmen
Vetters zu treten; nämlich ein Auge, welches wirk-
lich schaut. Jener Markt bietet dir nichts dar,
als den Anblick eines scheckichten, sinnverwirrenden
Gewühls des in bedeutungsloser Tätigkeit bewegten
Volks. Hoho, mein Freund! mir entwickelt sich
daraus die mannigfachste Szenerie des bürgerlichen
Lebens, und mein Geist, ein wackerer Callot, oder
moderner Chodowecki, entwirft eine Skizze nach
der andern, deren Umrisse oft keck genug sind.' 81

What the author does is isolate the elements in the market square which fire his imagination and which can also concretise the images produced thereby so that

like Callot he can create the scurrilous and the grotesque. Hoffmann here uses the symbol of the telescope to convey this artistic isolation of the individual components.⁸²

What the 'Vetter' in fact isolates in the market is not the everyday representative of normality, but rather the extraordinary:

'diese Gruppe, die soeben sich bildet, wäre würdig von dem Krayon eines Hogarths verewigt zu werden. Schau doch nur hin, Vetter, in die dritte Türöffnung des Theaters!' 83

Callot, Chodowiecki, Hogarth, how in the face of names like these is it possible to claim that Hoffmann has turned his back on the grotesque? Such a conclusion is possible only as a result of a fundamental misunderstanding of the story. It contains no directly fantastic elements because the tale is about the way in which a writer such as Hoffmann collects his material for his work and controls his imagination. What is sought out by the writer's eye are those elements which are grotesque or contain implicitly fantastic elements.

When the narrator picks out two old women selling their wares in the market he says:

'Sie haben sich zueinander gebeugt - sie zischeln sich in die Ohren - die eine genießt ein Schälchen Kaffee; die andere scheint ganz hingerissen von dem Stoff der Unterhaltung, das Schnäpschen zu vergessen, das sie eben hinabgleiten lassen wollte; in der Tat ein Paar auffallende Physiognomien! welches dämonische Lächeln - welche Gestikulation mit den dürrn Knochenärmen!', 84

we cannot help but wonder whether they could be a prototypes for another Liese. Significantly, the 'Vetter' approves of the narrator's choice and also notices their 'feindselige

Blicke' and 'höhnische Redensarten'.

A closely connected feature in Des Vetters Eckfenster is the space allocated to the description of the different characters. There has already been cause to mention that in Die Serapions-Brüder it is possible to discern that it is usually the grotesque characters who receive the most detailed descriptions, along with the hero, while the average bourgeois is only sparsely delineated. It is the reader who is left to create the external appearance of the characters he has probably seen a thousand times.⁸⁵ As a result, we find that the two cousins spend more time discussing the extraordinary characters in the market square. When the 'Vetter' bemoans the absence of a family of charcoal burners, the detailed description is again dedicated to the most grotesque member of the family:

'Von hinten sah nun die Figur so toll und abenteuerlich aus, als man nur etwas sehen kann. Natürlicherweise gewährte man von der wertigen Figur des Kleinen auch nicht das allermindeste, sondern bloß einen ungeheuren Kohlensack, dem unten ein Paar Füßchen angewachsen waren. Es schien ein fabelhaftes Tier, eine Art märchenhaftes Känguruh über den Markt zu hüpfen.' 86

While Prinzessin Brambilla deals with traditional Hoffmann motifs but uses them in a new way, so that what is portrayed in the work is the genesis of a work of art in the mind of the artist via insight and the concretisation of this insight, Des Vetters Eckfenster deals with how this concretisation can take place. It represents the gathering of the means to transpose the

'Funken' of the imagination into objects which bear a relation to the perception of the reader, who in turn transforms them back into the imagination in an infinite succession. Both works are interrelated, both are to an extent new, but both are Romantic works and as such stress Hoffmann's basic faith in a Romantic world view.

CONCLUSION

HOFFMANN'S ROMANTICISM: STASIS, EVOLUTION, REVOLUTION

It has been the aim of this thesis to refute the approach to Hoffmann's oeuvre which presupposes, from the outset, that Hoffmann's world view changed from Romantic to Realist in the space of his creative lifetime. The attempt was made to show that Hoffmann remained a Romantic throughout his life. By Romantic, however, we should understand not the narrow definition of Jena Romanticism, but a more wide-ranging European Romanticism. As a result, Chapter I of this thesis deals with the problem of arriving at an adequate definition of Romanticism and then lists four categories common to the Romantic movement in all its disparate manifestations.¹ In addition it was suggested that Romanticism should not merely be seen as a product of philosophical speculation but also of techniques used by the Romantics' literary antecedents and the development of these techniques.

Chapter II deals with the fact that Hoffmann's interest in psychology and mesmerist phenomena did not involve a rejection by Hoffmann of the the Romantic world view but that this interest is an outgrowth of his Romantic 'Weltanschauung'. The thesis then went on, in a discussion of a number of Hoffmann's literary works, to show that no shift towards Realism took place and that his world view remained intact up to the end of his life. This was demonstrated by a discussion of Prinzessin Brambilla

and Des Vettters Eckfenster, two of Hoffmann's late works, in Chapter VI.

As a result of his basic Romantic predisposition, his interest in Idealist philosophy and psychological theory, Hoffmann came to realise that the work of art could never adequately represent the insight gained by the liberated workings of the imagination. Indeed, that the visions of the imagination once the artist himself had reflected upon them - in other words even before the work of art itself has taken shape - are diminished in their immediacy by this very act of reflection. Reflection has as its concomitant that to be able to do this the reflecting individual must draw on the objects of the 'real' world to be able to concretize his vision. Already, therefore, we find a disparity of meaning between the 'signifiant' and the 'signifié'. Signifier and signified can no longer be relied upon to have an identical meaning. Although not yet totally reduced to the language of communication, the reflection can only take place if the individual avails himself of the symbol. The artist thus moves from the sphere of pure intellect into the sphere of the symbolic order.

The next stage for the artist is, as we have seen, the rendering of this symbolisation of insight into concrete form, the shift from the symbolic order to language. Although the transmutation of insight by means of the symbol has taken place as a result of reflection, it remains in essence formless, it is still a mental act. Transformation of the symbolic act into the verbal act now

takes place with the help of metonymy and metaphor. This taxonomical classification of signs renders the original insight into the concrete work of art.

Working from a standpoint which in essence can only be termed Romantic and with the help of emergent psychological and philosophical theories of the time, Hoffmann increasingly came to consider the role of the work of art as consisting of its ability to awaken insight in the reader as opposed to enmeshing him in its fictionality. This activation of the imaginative process, therefore, if successful, returns the work of art - in a sense at least - to its home. In other words Hoffmann came to feel that the reader must do the work:

'Wagt es der Herausgeber an jenen Ausspruch Carlo Gozzis (in der Vorrede zum Ré de' geni) zu erinnern, nach welchem ein ganzes Arsenal von Ungereimtheiten und Spukereien nicht hinreicht, dem Märchen Seele zu schaffen, die es erst durch den tiefen Grund, durch die aus irgendeiner philosophischen Ansicht des Lebens geschöpfte Hauptidee erhält, so möge das nur darauf hindeuten, was er gewollt, nicht was ihm gelungen.' 2

It is at this point that it is possible to suggest tentatively that while Hoffmann's Romantic world view does not change, his method of artistic procedure does develop. This development manifests itself less in any tangible change in the content of his works, and more in a change in attitude to his work and the use made of already extant material. We have seen how Hoffmann's early tales already evince many of the techniques used to undermine the attempt at identification with their fictional creations. Many of these techniques of alienation are usually ascribed

to his later works.³ In these early works, however, they are used randomly; they appear to be more the result of intuition than a firmly held belief in a particular poetic technique.

With the publication of Der goldne Topf in 1814, Hoffmann produced his definitive exposition of the Romantic world view. It is significant that the writing of this tale in 1813 coincides with his contact with the writings of the Idealist philosophers and psychologists.⁴ It is also significant that following Der goldne Topf Hoffmann's previously intuitive poetic technique gradually begins to take on a more conscious form. In other words, Romanticism becomes more than a generally held world view, it becomes a fruitful aesthetic theory. This aesthetic theory manifests itself fundamentally in the fact that the work of art can never adequately portray the poet's insight. A result of this is that Hoffmann increasingly diminishes the emphasis on plot and character delineation and increasingly places the emphasis on the interaction between work and reader.⁵

It is of course true that Hoffmann was neither the first nor the last writer to think along such lines. In common with Hoffmann, Kleist also reflected on the function of the work of art. Thus in the Berliner Abendblätter which he edited, he demanded that both the writer and the critic should have a clear aim, that as 'experts' they should both reflect on the 'Sinn und Zweck' of their doings.⁶

Although, as mentioned above, Der goldne Topf

demonstrates how Hoffmann attempted to create the pre-conditions under which the work and the reader interact, this technique is only formalised in the discussions and the organization of Die Serapions-Brüder. Not only does the fictitious narrator address the reader in the individual tales, as indeed he does in many of the earlier tales, but the very tales themselves become the object of fictional discussion.⁷ The tales are now framed by short interludes of artistic discussion about the works themselves. Thus Hoffmann introduces another level of alienation between the verbal representation of insight and the reader by fictionalising the critical discussion about a work of art.⁸

In a sense the work of art occupies a similar place in the unfathomable scheme of existence to that occupied by man himself; they are analogous. Thus, man's existential predicament is that he forever finds himself caught between spirit and absolute presence and that the only means of substantiation is by means of negation. In life Hoffmann found the tools for such negation in sarcasm, satire and irony, tools of which he also availed himself artistically.

Having realised that the function of the work of art can only be to arouse insight in the experiencing subject, we now find the conclusions gathered in the aesthetic discussions of Die Serapions-Brüder, which are themselves the formalisation of techniques used in earlier tales, receiving a definitive application

in Prinzessin Brambilla. Here we move a stage beyond mere techniques of alienation to a clear exposition of almost total abstraction. No longer satisfied with merely distancing the reader from the text's fictionality in the attempt to engender reflection on conditions of the work's creation, Hoffmann now takes as his theme the creation of the work of art itself.⁹

In Prinzessin Brambilla, therefore, as we have seen, character delineation is downgraded to the extent that the hero and heroine become clichés.¹⁰ The plot is one that we have encountered on numerous occasions in Hoffmann's oeuvre, most notably in Der goldne Topf. In so doing Hoffmann removes all distractors. Prinzessin Brambilla stands as a representation of the artistic process in the mind of the artist. It represents the total abstraction of plot and character by means of the consciously stylised representation of the Romantic world view. The role of the characters in Prinzessin Brambilla is reduced to such a degree that they become mere vehicles for the author's propagation of a creative interchange between the literary work and the reader.

Even Hoffmann's most 'realistic work', Des Vettters Eckfenster, shows that the overriding interest of the author is not to be found in a realistic portrayal of reality; rather it is primarily concerned with the problem of artistic creativity, dealing as it does with the problems involved in the transposition of the objects of the phenomenal world to render the visions of the

imaginative process. In essence the aim of the story is Romantic. Des Veters Eckfenster should not be judged as Romantic or Realistic on the basis of its content, but rather on the basis of its underlying artistic intent.

In a number of important respects Hoffmann's world view remained static. From the beginning his 'Weltanschauung' was Romantic in the broadest sense, and in this respect he never deviated from it. Hoffmann's Romanticism in terms of his aesthetics, however, despite the fact that it continued to rest on his fundamental belief in the Romantic world view, evolved. This evolution coincided with an increased interest in philosophy and psychology providing him as they did, with a better understanding of the imaginative process and its location in the unconscious. Suddenly the Romantic concept of the Golden age, the idea of the imagination as a radically creative force took on a more concrete meaning. The Golden Age was no longer a hazy dream of some long lost age of harmony: it remained in man as a still extant reservoir on which the artist could draw. A concomitant of this is increased awareness of the problem of insight and representation. The impossibility for the artist to express his insight via the medium of language became the dominant artistic problem for Hoffmann.

The evolution mentioned above should not be regarded as a shift from Romanticism to Realism. It is not even possible to talk of an evolution of Hoffmann's world view, it is an evolution of a method of artistic

procedure. Thus it is no longer the Romantic world view which constitutes the theme of the late tales; this was taken for granted, the subject matter was the Romantic work of art itself.

The revolutionary element in Hoffmann's aesthetics begins where the evolution ends, at the time of his death. It is true to say that towards the end of his life Hoffmann had developed the short story and the novel in such a way that many of his contemporaries could no longer appreciate them. As a result, his late works, in particular Prinzessin Brambilla and Lebens-Ansichten des Katers Murr, were frequently greeted with severe criticism and even outright hostility. It is here, however, that we find Hoffmann's modernity and the true legacy of Romantic aesthetics.

In a startling way the Modern and the Post-Modern movements appear to have accepted the essential themes with which Hoffmann became increasingly preoccupied towards the end of his life; the inadequacy of language in the expression of the poetic impulse.¹¹ Whether Hoffmann directly influenced this development or not it is impossible to say, however, this does nothing to diminish Hoffmann's modernity and that of Romantic aesthetics.

The main link between Romantic aesthetics and Modernism and Post-Modernism is undoubtedly to be found in the development of the study of psychology, particularly as a result of the thought of Freud and Jung. While it is true that psychoanalysis has always promised more than it

has actually offered, this is more true in the context of its use as an interpretive tool than its influence on the creative writer:

'Few approaches to literature have promised more and delivered less than the psychoanalytic. Freud's theories have, however, opened new avenues of interpretation for critics of all persuasions. The difference between the critic who searches for Oedipal situations and obsessional neuroses and the critic who speaks of ambivalence and forbidden wishes is primarily one of degree. Both have assimilated the world view of psychoanalysis.' 12

And yet this world view is closely linked to that of Romanticism, for Freud's and Jung's theories did not appear in a vacuum but derive directly from the theories of Mesmer and their development by the Romantics.

Hoffmann's modernity is to be found in his preoccupation with the inexpressibility of inner visions. While to a large extent, this problem was neglected in the nineteenth century as a result of the predominance of literary Realism, it once again became a central problem for the Modernists and Post-Modernists. The Structuralist school of criticism, basing itself on linguistic theory and psychology, began to question the ability of language and as a result the text to convey anything to the reader.¹³ Thus any attempt to deduce authorial intention is forsaken in the interests of an attempt to understand what the dictates of language and ideology force the text to say.

This juncture of Romantic aesthetic theory and the aesthetic theory of the 1960's, however, only marks the beginning of an increasing congruence in 'Weltanschauung'. It is in the writings of Lacan and Derrida that the reader

acquainted with Hoffmann's oeuvre discovers that it is fundamentally the same aesthetic problems that are being discussed. In his incisive article on Lacan, Fredric Jameson has the following to say, while attempting to clarify the central aesthetic problem for Lacan, the inexpressibility of the imaginative process:

'Anyone who has ever tried to recount a dream to someone else is in a position to measure the immense gap, the qualitative incommensurability, between the vivid memory of the dream and the dull, impoverished words which are all we can find to convey it: yet this incommensurability, between the particular and the universal, between the vecu and language itself, is one in which we dwell all our lives, and it is from it that all works of literature and culture necessarily emerge.' 14

Again it is not the brief of this thesis to discuss the Structuralist or Post-Structuralist schools and their validity as a theoretical approach to the literary text. The importance lies once again in the fact that Hoffmann's thought and that of Romantic aesthetics in general is a precursor of this approach, in particular in terms of the psychoanalytically based theories of Lacan and Derrida. As a result it would appear to offer an extremely fruitful area for further research.

For many years literary criticism has accepted as a fact that Romanticism, while important in its time, made little or no contribution to the development of the literary work.¹⁵ Thus, depending on the critic's political persuasion it was either seen as a natural outgrowth of the German philosophical tradition and its 'grand pessimism', or as a direct result of the French Revolution and the related decline of Feudalism and the rise of the bourgeoisie.

The influence of Romanticism, if admitted at all, was ascribed not to the movement itself, but to individual thinkers and writers. As a result, Hoffmann's works are seen as having influenced the Russian 'Romantic Realists'.¹⁶ Even here, however, Hoffmann's influence is seen in terms of his 'Realism'. Recently techniques used by Hoffmann have gained new credence amongst writers of the Post-Modern movement. Again the question of a direct influence must be left open, but the importance lies in the fact that Hoffmann's literary preoccupations are shared by creative artists working at the present time.

Reacting against the Realism and direct social criticism of the 1950's, the Post-Modern movement once again availed itself of the grotesque and the fantastic. Further it concluded that the creative artist writing today had nothing to say directly to his readership because his ability to communicate had been undermined. As a result, the works of writers such as Barth, Brautigan, Hawkes, Kosinsky, etc., attempt to communicate with the reader by means of play, irony, the grotesque or the destruction of fictionality as a result of the conscious breakdown of any causal connection between content and form and cause and effect.

Like Hoffmann, these writers concluded that the imaginary in its idealist sense cannot be conveyed because its visions bear no direct relationship to its expression. An unbridgeable gap was seen to exist between the self and the expression of the self. Also like Hoffmann and Schlegel,

the realisation was made that the reader also interacted with the text; in other words despite the inability to convey a message directly in the text about the insight that determined its creation, as long as there is a listener or reader, there can be no language either written or spoken without an answer. Thus, in the same way that the adult cannot understand the infant because he avails himself of pre-verbal structures, the author must similarly avail himself of symbols which for Romantic and Modernist and Post-Modernist alike become the technical fulcrum of the work.¹⁷ Unconsciously we are reminded of Robert Browning's dictum: 'Flesh composed of suns. How can such be? exclaim the simple ones.'

Hoffmann's thinking on aesthetics and literary form shows itself, on closer examination, to be startlingly modern, and yet it is a modernity which owes nothing to Realism but is a direct result of his Romantic world view. In the fictional work of E.T.A. Hoffmann and its fictional reduction of Friedrich Schlegel's transcendental poetics we have before us a paradigm of the Romantic work of art and an example of the importance of Romantic aesthetics to the creative writer.

CHAPTER I

1. A.O. Lovejoy, "On the Discrimination of Romanticisms", P.M.L.A., XXXIX (1924), pp.229-53.
2. Mario Praz, The Romantic Agony, second edition with a foreword by Frank Kermode (London, 1970). M.H. Abrams has written two thought-stimulating works on Romanticism entitled: The Mirror and the Lamp: Romantic Theory And The Critical Tradition (London/Oxford/New York, 1953) and Natural Supernaturalism: Tradition and Revolution in Romantic Literature (New York, 1971), however, Abrams' approach which is one of critical pluralism, helps to throw light on aspects of Romanticism but does not help us to arrive at a definition of the phenomenon.
3. Praz, The Romantic Agony, p.vii.
4. Praz, The Romantic Agony, p.1.
5. A.O. Lovejoy, "The Meaning of Romanticism for the Historian of Ideas", Journal of the History of Ideas, II (1941), pp.237-78.
6. Friedrich Schlegel, "Fragmente zur Litteratur und Poesie I", in Friedrich Schlegel, Literary Notebooks 1797-1801, edited by Hans Eichner (London, 1957), p.57.
7. Friedrich Schlegel, Literary Notebooks 1797-1801, p.92.
8. Morse Peckham, "Toward a Theory of Romanticism", P.M.L.A., LXI (1951), pp.5-23.
9. The complexity of the reasons for such a change make it impossible to provide an adequate treatment here, however, the reader is referred to Paul Roubiczek, "Some Aspects Of German Philosophy In The Romantic Period", The Romantic Period in Germany, edited by Siegbert Praver (London, 1970), pp.305-25, which provides a brief but accurate background to the philosophical problems of the period. The reader in search of more detail is referred to N. Hartmann's excellent study Die Philosophie des deutschen Idealismus (Berlin, 1929).
10. Peckham, "Toward a Theory of Romanticism", p.11.
11. Peckham, p.13.
12. Friedrich Schlegel, Kritische Ausgabe, Vol. II, edited by Ernst Behler (Munich/Paderborn/Vienna, 1967), p.161.

13. Friedrich Schlegel, Kritische Ausgabe, II, p.204.
14. I have availed myself of the Structuralist term 'deconstruction' here instead of the more usual 'destruction'. The reason for this is that 'deconstruction' with its image of disassembling the text in order to reassemble it comes closer to Schlegel's meaning than the implied finality of the word 'destruction'.
15. Friedrich Schlegel, Kritische Ausgabe, II, p.183.
16. Cf. Liselotte Dieckmann, "Friedrich Schlegel and Romantic Concepts of the Symbol", The Germanic Review, 34 (1959), pp.276-83.
17. Language can be characterised as consisting of a structural relationship between the original concept and the auditory image produced by the word for the concept. The concept is referred to as the 'signified' while the auditory image is the 'signifier'. With the passing of time the relationship between the two of necessity becomes arbitrary.
18. As we shall see, this constitutes the dominant artistic problem for Hoffmann; how to convey poetic insight while at the same time being forced to use the objects from the phenomenal world to represent this working of the imaginative process.
19. August Wilhelm Schlegel, Vorlesungen über schöne Literatur und Kunst, edited by Jakob Minor (Stuttgart, 1884), p.91.
20. Saussurean linguistics explains this divorce in terms of the breakdown between signifier and signified. Thus, for example, it is true to say that there is no longer a necessary link between the signifier 'tree' and the concept or signified that it involves, the actual tree growing in the soil. In other words, 'tree' has none of the qualities of a tree.
21. G.H. Hartmann, "Romanticism and 'Anti-Self-Consciousness'", Centennial Review, VI (1962), p.555.
22. David E. Wellerby, "E.T.A. Hoffmann And Romantic Hermeneutics: An Interpretation Of Hoffmann's "Don Juan"", Studies in Romanticism, 19 (1980), pp.455-73.
23. Wellerby, "E.T.A. Hoffmann And Romantic Hermeneutics", p.455.
24. E.T.A. Hoffmann, Fantasie- und Nachtstücke, edited by Walter Müller-Seidel (Munich, 1960), p.74. In future this volume will be abbreviated to HW I followed by the relevant page reference.

25. Wellerby, "E.T.A. Hoffmann And Romantic Hermeneutics", p.461.
26. Hans Eichner, "The Novel", The Romantic Period in Germany, edited by Siegbert Praver (London, 1970), p.73.
27. Friedrich Schlegel, Literary Notebooks, p.21.
28. Friedrich Schlegel, Literary Notebooks, p.56.
29. Friedrich Schlegel, Kritische Ausgabe, II, p.331.
30. Friedrich Schlegel, Kritische Ausgabe, II, p.331.
31. Friedrich Schlegel, Kritische Ausgabe, II, p.333.
32. Friedrich Schlegel, Kritische Ausgabe, II, p.335.
33. Laurence Sterne, Tristram Shandy (London/New York, 1961), p.28.
34. Viktor Schlovsky, "Sterne's "Tristram Shandy"", Russian Formalist Criticism: Four Essays, edited by L.T. Lemon and M.J. Reis (Lincoln Neb., 1965), p.25
35. W. Daniel Wilson, The Narrative Structure of Wieland's "Don Sylvio von Rosalva" (Bern/Frankfurt/Las Vegas), p.84.
36. Steven Paul Scher, "Hoffmann and Sterne: Unmediated Parallels in Narrative Method", Comparative Literature, 28 (1976), p.314.
37. Scher, "Hoffmann and Sterne", pp.319-20.
38. Scher, "Hoffmann and Sterne", p.311.
39. Wellerby, "E.T.A. Hoffmann And Romantic Hermeneutics", p.458.
40. Roland Barthes, Image Music Text (London/New York, 1977), p.146.
41. Friedrich Schlegel, Literary Notebooks, p.96.
42. Friedrich Schlegel, Literary Notebooks, p.97.
43. For a more extensive list of Hoffmanns References to Laurence Sterne the reader is referred to E.T.A. Hoffmann, Briefwechsel, III, edited by Hans von Müller and Friedrich Schnapp (Munich, 1969), p.475 and E.T.A. Hoffmann, Tagebücher, edited by Friedrich Schnapp (Munich, 1971), p.664.

44. Scher, "Hoffmann and Sterne", p.310.
45. A.W. Schlegel sums this up succinctly in the quotation reproduced on page 8 of this thesis.
46. Lothar Köhn, Vieldeutige Welt. Studien zur Struktur der Erzählungen E.T.A. Hoffmanns und zur Entwicklung seines Werks (Tübingen, 1966).
47. Klaus Günzel, "Zu E.T.A. Hoffmanns Entwicklung als Schriftsteller", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 18 (1972), pp.17-32; Fritz Martini, "Die Märchendichtungen E.T.A. Hoffmanns", Der Deutschunterricht, VII (1955), pp.56-78; Robert Mollenauer, "The Three Periods of E.T.A. Hoffmann's Romanticism. An attempt at a definition", Studies in Romanticism, 2 (1962-63), pp.213-43; Jean F-A. Ricci, E.T.A. Hoffmann l'homme et l'oeuvre (Paris, 1947).
48. Mollenauer, "The Three Periods of E.T.A. Hoffmann's Romanticism", pp.214-221.
49. Mollenauer, "The Three Periods of E.T.A. Hoffmann's Romanticism", pp.221-234
50. Cf.pp.38-39 of this thesis.
51. The motif of love as a new theme in Hoffmann's oeuvre could be ascribed to his so-called 'Julia Erlebnis'. Nevertheless, we should be wary of over-interpreting the tenuous relationship between an author's experiences and his work. Norbert Groeben, Literaturpsychologie. Literaturwissenschaft zwischen Hermeneutik und Empirie (Stuttgart, 1972), has the following to say on the relationship between biography and work: 'Der Gegenstand 'Literatur' kann sich bei so starken Aspektkontaminationen des Forschungsansatzes gegen die Voraussetzung der Identität mit Lebens- (d.h. biographischen)daten nicht mehr durchsetzen. Eine den Gegenstand nicht treffende Analyse ist aber auf keinen Fall wissenschaftlich zu nennen; dementsprechend unterscheidet die neuere Literaturwissenschaft auch folgerichtig zwischen der 'empirischen Person' und dem nur im "metaphorischen Sinn als persönlich bezeichneten" Werk.' p.29.
52. Mollenauer, "The Three Periods of E.T.A. Hoffmann's Romanticism", p.226.
53. Günzel, "Zu E.T.A. Hoffmanns Entwicklung als Schriftsteller", p.19.
54. Günter Dammann, Antirevolutionärer Roman und romantische Erzählung Vorläufige konservative Motive bei Chr. A. Vulpius und E.T.A. Hoffmann (Kronberg/Ts, 1975), also parallels the decline of the Romantic movement and E.T.A. Hoffmann's development as a writer.

55. Günzel, "E.T.A. Hoffmanns Entwicklung als Schriftsteller", p.24.
56. Hans Georg Werner, E.T.A. Hoffmann Darstellung und Deutung der Wirklichkeit im dichterischen Werk, (Weimar, 1962).
57. Jürgen Vörster, 160 Jahre E.T.A. Hoffmann Forschung (Stuttgart, 1967), lists the most important works dealing with this topic and suggests that most of the avenues for tracing new sources have been exhausted. While this may be true of the sources themselves, however, work remains to be done on Hoffmann's artistic use of these sources.
58. Paradoxically this is particularly true of the so-called 'psychological' interpretations where biographical detail appears to have an almost deterministic influence on an author's oeuvre. A paradigm of this technique is Paul Margis' work, E.T.A. Hoffmann. Eine psychographische Individualanalyse (Leipzig, 1911).
59. O.F. Bollnow, "Der goldne Topf und die Naturphilosophie der Romantik. Bemerkungen zum Weltbild E.T.A. Hoffmanns", in O.F. Bollnow, Unruhe und Geborgenheit im Weltbild neuerer Dichter (Stuttgart, 1953), pp.207-26; Hans Dahmen, E.T.A. Hoffmann Weltanschauung (Marburg, 1929); J. McGlathery, "The suicide motif in E.T.A. Hoffmann's 'Der goldne Topf'", Monatshefte, 58 (1966), pp.115-23; Maria M. Tatar, "Mesmerism, Madness and Death in E.T.A. Hoffmann's 'Der goldne Topf'", Studies in Romanticism, 14 (1975), pp.365-89.
60. Although the 'Dreiweltentheorie' is not the creation of the Romantic movement - the idea of a world developing from a pure state of harmony through a less perfect present to a purer state is common to most philosophies of history from Vico to Hegel as well as constituting an important element in the Millenarian movement - it is the Romantics who appropriated it for the aesthetic sphere.
61. In terms of Bollnow's conception of Romanticism which is in essence that of the Jena Circle, this is probably true, however, we have already suggested that such a narrow view does not do justice to the Romantic movement. The way Hoffmann concerns himself with the conventions of writing is Romantic even if his aims are not as metaphysically grandiose as, for example, the aims of Novalis.
62. J.C. Reil, Rhapsodien über die Anwendung der psychischen Curmethode auf Geisteszerrütungen (1803, reprint edition Amsterdam, 1968).
63. Kenneth Negus, E.T.A. Hoffmann's Other World (Philadelphia, 1965) pp.73-74.

64. Robert Mühlher, "Prinzessin Brambilla. Ein Beitrag zum Verständnis der Dichtung", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 5 (1958), pp.5-24.
65. Roland Heine, Transzendentalpoesie. Studien zu Friedrich Schlegel, Novalis und E.T.A. Hoffmann (Bonn, 1974); Siegfried Schumm, Einsicht und Darstellung: Untersuchung zum Kunstverständnis E.T.A. Hoffmanns (Göppingen, 1974).
66. Heine, Transzendentalpoesie, pp.8-9
67. Schumm, Einsicht und Darstellung, p.178.
68. E.T.A. Hoffmann, Tagebücher, 7.1.1804, p.65.
69. Bengt Algot Sörensen, Allegorie und Symbol. Texte zur Theorie des dichterischen Bildes im 18. und frühen 19. Jahrhundert (Frankfurt, 1972), p.265.
70. G.H. Schubert, Ansichten von der Nachtseite der Naturwissenschaften (Dresden 1818 reprint edition); Die Symbolik des Traumes (Leipzig, 1840 reprint edition). Cf. pp. 47-49 of this thesis and note 36 of chapter II.
71. Albert Beguin, L'âme romantique et le rêve. Essai sur le romantisme allemande et la poésie française, vol. 2 (Marseille, 1937), pp.266-91.
72. K.C. Wolfart, Erläuterungen zum Mesmerismus (Berlin, 1814). While we do not know whether Hoffmann actually read Wolfart's work or not, the fact that he was a friend of Koreff's with whom Hoffmann was acquainted, and that Wolfart's book was a major work on mesmerism, leads one to the assumption that he was at the least aware of the work. There is further evidence for the fact that Hoffmann knew Wolfart personally when Hoffmann refers to the name Wolfart in an entry in his diary dated 2.2.1815. There is some doubt as to whether this refers to C.W.L. Wolfart a 'Regierungsrat' or Wolfart the mesmerist. It is, however, more than likely that the diary entry refers to the latter as K.C. Wolfart was in Berlin at the time and because the entry was made shortly after the publication of Wolfart's book.
73. Novalis, Schriften, 2, edited by R. Samuel, H-J. Mähl and G. Schulz (Darmstadt, 1965), p.422.
74. Paul Sucher, Les sources du merveilleux chez E.T.A. Hoffmann (Paris, 1912).
75. It is not being suggested here that Hoffmann in his later works is consciously following the dictates of Romantic aesthetics and the literary theories of Friedrich Schlegel but rather that his poetic technique

accords with these theories.

76. HW I, p.429.
77. E.T.A. Hoffmann, Die Elixiere des Teufels, Lebens-Ansichten des Katers Murr, edited by Walter Müller-Seidel (Munich, 1969), p.8. In future this volume will be abbreviated to HW II followed by the relevant page reference.
78. E.T.A. Hoffmann, Die Serapions-Brüder, edited by Walter Müller-Seidel (Munich, 1966), p.156. In future this volume will be abbreviated to HW III followed by the relevant page reference.
79. E.T.A. Hoffmann, Späte Werke, edited by Walter Müller-Seidel, (Munich 1969), p.600. In future this volume will be referred to as HW IV followed by the relevant page reference.
80. This is particularly true of Die Serapions-Brüder where stories complement one another and are linked by a frame but it also applies to the Fantasie- und Nachtstücke.

CHAPTER II

1. This is a prime example of literary periodisation becoming a methodological strait-jacket. A rigid model is constructed and any deviation from this model necessitates the preparation for a change to a new model. Thus, in the case of Hoffmann, his work is judged against the works of early Romanticism and any indication of a lack of congruence between them is seen as a rejection of Romanticism by Hoffmann.
2. American criticism and in particular New Criticism has pointed out that any attempt to comprehend an author's intention is of necessity doomed to failure. Wimsatt, who coined the phrase 'the intentional fallacy' for this, is of the opinion that at best the reader or interpreter can posit a metaphorical author who, we think, has something to say to us, when in fact we are projecting ourselves and the problems of our time into the work and are therefore reading into the work elements of which the author could have no knowledge. While this fact has to be borne in mind, it is also true that to an extent at least, great literature deals in universals, which in part accounts for its acceptance through the ages. In connection with this the reader is also reminded of the dangers inherent in the attempted 'Gleichschaltung' of work and biographical detail. Cf. note 51 of chapter I of this thesis.
3. Karl Ochsner, E.T.A. Hoffmann als Dichter des Unbewußten. Ein Beitrag zur Geistesgeschichte der Romantik (Frauenfeld/Leipzig, 1936), p.21.
4. E.T.A. Hoffmann, Briefwechsel, I, 12.1.1795, p.52.
5. E.T.A. Hoffmann, Briefwechsel, I, 12.1.1795, p.52.
6. E.T.A. Hoffmann, Briefwechsel, I, 1.5.1795, p.62
7. E.T.A. Hoffmann, Briefwechsel, I, 25.10.1795, p.67.
8. E.T.A. Hoffmann, Briefwechsel, I, 1.5.1795, p.62.
9. E.T.A. Hoffmann, Briefwechsel, I, 12.12.1794, p.51.
10. Cf. Ulrich Helmke, E.T.A. Hoffmann Lebensbericht mit Bildern und Dokumenten (Kassel, 1975); H.W. Hewett-Thayer, Hoffmann. Author of the Tales (Princeton, 1948), New edition (New York, 1971); Gabrielle Wittkop-Ménardeau, E.T.A. Hoffmann In Selbstzeugnissen Und Bilddokumenten (Reinbek b. Hamburg, 1966).
11. E.T.A. Hoffmann, Briefwechsel, I, 22.9.1795, pp.64-65.

12. E.T.A. Hoffmann, Briefwechsel, I, 10.12.1803, pp.176-77.
13. Liselotte Feigl, Die transzendente Welt in der Dichtung von E.T.A. Hoffmann. Ein Beitrag zu seiner Biographie, unpublished dissertation (Vienna, 1944) deals with this problem but fails to show any concrete influence.
14. E.T.A. Hoffmann, Tagebücher, 13.2.1804: 'Ich lese Rousseaus Bekenntnisse vielleicht zum 30sten mahl - ich finde mich ihm in manchem ähnlich - Auch mir verwirren sich die Gedanken wenn es darauf ankommt, Gefühle in Worte zu fassen!' Cf. also the entry dated the 7.1.1804.
15. E.T.A. Hoffmann, Tagebücher, 17.4.1812. Cf. also the 'Erläuterungen' p.363 and the 'Namenregister' on p.617 of the above volume. Kunz, who was Hoffmann's publisher, allowed him to use his library which contained amongst others, Novalis, Schriften, 2 Theile, edited by Ludwig Tieck and Friedrich Schlegel (Berlin, 1805); Schelling, Ideen zu einer Philosophie der Natur (Landshut, 1803); Ersten Entwurf eines Systems der Naturphilosophie (Jena, 1799); Von der Weltseele (Hamburg, 1809). In a letter to Kunz dated the 26.7.1813 (Briefwechsel, I, p.403), Hoffmann writes: 'Unendlich werden Sie mich durch die Anweisung an Arnold aufs Schubertsche Buch verbinden - eben jetzt, da ich mit dem Studium der Schellingschen Weltseele fertig bin, kan. ich dazu schreiten.'
16. E.T.A. Hoffmann, Briefwechsel, I, 12.12.1807, p.231, 'Fichte und Schleiermacher sind wieder hier, Werner kehrt auch nach Berlin zurück. Varnhagen, Chamisso, Winzer, Robert sind Dir gewiß unbekannte Namen, in- dessen nenne ich sie Dir, als junge höchst talent- volle Leute, die uns gewiß viel, viel gutes liefern werden.'
17. E.T.A. Hoffmann, Tagebücher, 12.1.1811, 'Viel in Schlegels dramatischen Vorlesungen) gelesen - Ich will die wichtigsten Definitionen) aus dem Werke ad usum auszieh'n'. For a complete list of A.W. Schlegel's works read by Hoffmann including his literary trans- lations see p.653 of the above volume.
18. Walter Jost, Von L. Tieck zu E.T.A. Hoffmann Studien zur Entwicklungsgeschichte des romantischen Subjekt- ivismus (Frankfurt, 1921), provides a wealth of evidence to show that Hoffmann was, at least spiritually, always a Romantic. On pages 134-35 of the above volume Jost convincingly refutes many of Paul Sucher's con- clusions.
19. Gustav Egli, E.T.A. Hoffmann. Ewigkeit und Endlichkeit

in seinem Werk (Zürich/Leipzig/Berlin, 1927), p.50.

20. It is possible to argue about whether this is really Goethean but it is certainly what Goethe represented for the Romantics. Thus Novalis criticised Goethe's Wilhelm Meisters Lehrjahre because of its prosaic quality and decided to surpass it in Heinrich von Ofterdingen. But Goethe was too important to the Romantics to be dismissed and in 'Athenäums Fragment 216', Friedrich Schlegel, Kritische Ausgabe, II, p.198, Schlegel writes: 'Die Französische Revolution, Fichtes Wissenschaftslehre, und Goethes Meister sind die größten Tendenzen des Zeitalters.' Goethe had to be transcended and in so doing reconciled to the Romantic world view. What Schlegel demands above all from Goethe and Schiller is works of art in which 'Sinn' and not the work of art itself is important: 'Alle klassischen Dichtarten in ihrer strengen Reinheit sind jetzt lächerlich.' ('Kritische Fragmente 60', Friedrich Schlegel, Kritische Ausgabe, II, p.154), 'Nicht die Kunst und die Werke machen den Künstler, sondern der Sinn und die Begeisterung und der Trieb.' ('Kritische Fragmente 63', Friedrich Schlegel, Kritische Ausgabe, II, p.154).
21. By concluding that the poet does not deal in the perception of objects but creates objects, Schelling highlighted the self-constituting creative function of the artist: 'Aber diese Anschauung...ist selbst bloß eine innere, die für sich selbst nicht wieder objektiv werden kann: sie kann objektiv werden nur durch eine zweite Anschauung. Diese Anschauung ist die ästhetische.' (Schelling, Schriften, 1799-1801 (Darmstadt, 1975), p.625.
22. It is no coincidence that this coincided with Schelling's increasing preoccupation with the works of Jakob Böhme.
23. Schelling, "Ideen zu einer Philosophie der Natur", Schriften, 1794-98 (Darmstadt, 1975), p.371.
24. Schelling, "Einleitung zu dem Entwurf eines Systems der Naturphilosophie", Schriften, 1799-1801, p.289.
25. There was still confusion about its exact location. As a result, some conceived of it as being located in the brain, some in the 'soul', while the mesmerist school was of the opinion that it was housed in the ganglionic system (non-cerebral cortex). The present day definition that the unconscious is a part of man's psyche was not formalised until the end of the nineteenth century in the writings of the psychologist Carus.
26. Ochsner, Hoffmann als Dichter des Unbewußten, p.37, uses the expression 'das Unbemerkte'. Freud's term

for this is 'das Vorbewußte'.

27. C.G. Jung, Man and his Symbols (London, 1964), p.38.
28. There has in recent years been an ongoing dispute amongst philosophers as to whether or not Schelling passed through a number of distinct changes in his world view as had been assumed. While Egli and Ochsner are in accord with such a point of view, more recent research is tending towards the view that the development of Schelling's thought did not in fact involve a shift in 'Weltanschauung' and that his late work is a direct corollary of his earlier work.
29. Cf. Schiller's "Die Götter Griechenlands", Sämtliche Werke, I, ed. by G.Fricke, H.G.Göpfert, H. Stubenrauch (Munich, 1960), p.163. The concept of the golden age was taken a stage further by Novalis. Cf. "Hymnen an die Nacht", Christenheit oder Europa or Die Lehrlinge zu Sais.
30. Both K.C. Wolfart, Erläuterungen zum Mesmerismus and C.A.F. Kluge, Versuch einer Darstellung des animalischen Magnetismus als Heilmittel (Berlin, 1811), list a wealth of such 'cures'.
31. It was not just the eccentric fringe of German Romanticism that concerned itself with mesmerism. Schelling was an intimate friend of Marcus, and Fichte even kept a diary on mesmerism consisting in the main of observations made at Wolfart's clinic.
32. K.C. Wolfart, Erläuterungen zum Mesmerismus, pp.51-61
33. Johann Wilhelm Ritter became a guru figure for the Jena Circle. Ritter accepted Schelling's fundamental thesis that nature is one gigantic organism. Using this as a starting point, Ritter coined the central metaphor 'Natur das All-Thier' (Cf. J.W. Ritter, Beweis dass ein beständiger Galvanismus den Lebensprocess in dem Thierreich begleite (Weimar, 1798), p.171) Ritter also converted Schelling's electrical theory into the galvanic theory of animal magnetism, according to which all the senses: sight, sound, smell, touch and taste are merely the primitive manifestation of one primeval sense, the 'elektrischer Ursinn'.
34. Cf. W. Wetzel, "Aspects of Natural Sciences in German Romanticism", Studies in Romanticism, 10 (1971), pp.44-59.
35. The Kuhnian theory of scientific revolutions is that scientific advance should not be regarded in terms of 'catastrophes' but rather should be viewed as the result of a gradual progression. The analogy of a see-saw can be used to good effect here. The swing

of a see-saw gives the impression of being 'catastrophic' if one looks at the extremities, however, the shift at the fulcrum is only very gradual.

36. E.T.A. Hoffmann, Briefwechsel, I, 19.8.1813, p.409. On the 26.3. 1813 (Briefwechsel, I, p.403) Hoffmann mentions his awareness of Schubert's Ansichten in a letter to Kunz (Cf. note 15 of this chapter). Regarding Die Symbolik des Traumes Hoffmann expresses his desire to read it in another letter to Kunz dated the 24.3.1814 (Briefwechsel, I, p.461): 'und giebst du dich in müßigen Stunden noch mit dem Bücherver-senden ab, so schicke, schicke - o schicke ihm bald Schuberts Symbolik des Traumes! - er durstet darnach!' It is likely that Hoffmann had read this work by the Autumn of 1814 as he talks about 'mein innerer Poet' in a letter to Hitzig dated 2.9.1814 (Briefwechsel, I, p.483) which is a play on Schubert's 'Der versteckte Poet in unserm Innern'.
37. Schelling, Schriften, 1801-1804, pp.458-59
38. J.C. Reil, Rhapsodien über die Anwendung der psychischen Curmethode auf Geisteszerüttungen.
39. Aubrey Lewis, "J.C. Reil: Innovator and Battler", Journal of the Behavioral Sciences, I (1965), pp.178-80.
40. Reil's works are permeated with Schelling's 'Natur-philosophie' and he became one of Schelling's most fervent disciples. Cf. M.M. Tatar, "Psychology and Poetics: J.C. Reil and Kleist's 'Prinz Friedrich von Homburg' ", The Germanic Review, 48 (1973), p.22. Cf. also M.M. Tatar, Spellbound. Studies on Mesmerism and Literature (Princeton, 1978).
41. Regarding Hoffmann's reading of Schelling, Novalis and others cf. note 15 of this chapter. Hoffmann also as a result of his friendship with Dr. Koreff, Dr. Marcus and Dr. Speyer became conversant with many texts on mesmerism and psychology
42. It is possible to get an indication of Hoffmann's detailed reading in psychology from the works he mentions in Das Öde Haus (HW I, pp.474-76) and Lebens-Ansichten des Katers Murr, p.525.
43. R. Mollenauer, "The Three Periods of E.T.A. Hoffmann's Romanticism", p.226.
44. Cf. in particular Schubert's Ansichten which makes constant reference to this.
45. Novalis, "Fragmente und Studien", Schriften, III, edited by R. Samuel (Darmstadt, 1968), p.662.

46. On the 26.6.1812 Hoffmann makes the following entry in his diary: '(wie sehr wirkt Ktch auf mein Gemüth - so daß ein klein(er) Wahnsinn in diesem Punkt unverkenbar ist - es ist die fixe Idee. z.B. Speyers) Nachricht daß Gr(oepel) nicht (.....) wirkte ganz entscheidend auf meine St(immung)).' On the 9.7.1812 we find 'N.M. und Abends im Museum - ziemlich Stimmung - jedoch die gewisse fixe Idee nimt sehr Ueberhand und ich merkte daß ich an einem beständigen Kopfschmerz leide'. These entries show the extent to which his self-diagnosis is conditioned by his medical acquaintances and his reading.
47. One has only to think of the evil use to which Alban puts mesmerism in Der Magnetiseur.
48. M.M. Tatar, "Mesmerism Madness and Death in E.T.A. Hoffmann's 'Der goldne Topf'", p.388.
49. Schubert, Ansichten, p.90.
50. C.G. Jung, Collected Works, 6, edited by H.Read, M. Fordham, G. Adler (London/Toronto, 1971), pp.395-405
51. P. von Matt, "Die Gemalte Geliebte. Zur Problematik von Einbildungskraft und Selbsterkenntnis im erzählenden Werk E.T.A. Hoffmanns", Germanisch-Romanische Monatsschrift, 21 (1971), pp.395-412.
52. E.T.A. Hoffmann, Briefwechsel, II, 1.5.1820, p.249.

CHAPTER III

1. Hoffmann's first published work was Schreiben eines Klostergeistlichen an seinen Freund in der Hauptstadt. It was written and published in 1803.
2. Christa Karoli, "Ritter Gluck. Hoffmanns erstes Fantasiestück", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 14 (1968), p.1.
3. Hans Dahmen, Hoffmanns Weltanschauung, pp.13-50.
4. Cf. note 36 chapter II.
5. Friedrich Schlegel, Kritische Ausgabe, XII, p.105.
6. Wulf Segebrecht, "Heterogenität und Integration bei E.T.A. Hoffmann", E.T.A. Hoffmann, edited by H. Prang (Darmstadt, 1976), pp.381-97.
7. HW I, p.14.
8. HW I, p.17.
9. HW I, p.17.
10. HW I, p.18.
11. HW I, p.18.
12. C.G. Jung, Collected Works, 6 , edited by H. Read, M. Fordham, G. Adler (London/Toronto, 1971), pp.166-272.
13. Cf. Beethovens Instrumental-Musik in HW I, pp.41-49.
14. Ingrid Merkel, "Wirklichkeit im Romantischen Märchen", Colloquia Germanica (1969), p.182.
15. Gisela Maucher, "Das Problem der dichterischen Wirklichkeit bei E.T.A. Hoffmann und E.A. Poe", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 12 (1966), pp.31-32; Elizabeth Z. Sturrock, "Die feindliche Macht und verwandte Mächte in den literarischen Werken von E.T.A. Hoffmann", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 15 (1969), pp.40-41.
16. Sturrock, "Die feindliche Macht und verwandte Mächte", p.40.
17. Although Kreisleriana Nr. 1-6 were published collectively in the Fantasiestücke in 1814, the stories themselves were written over a period of three years between 1810 and 1813 and with the exception of "Der vollkommene Maschinist" all were published prior to their publication in volume I of the Fantasiestücke.

18. HW I, p.44.
19. HW I, p.51.
20. HW I, p.60.
21. HW I, 'Nachwort', p.762.
22. E.T.A. Hoffmann, Tagebücher, p.176.
23. Dorothee Sölle and Wolfgang Seifert, "In Dresden und Atlantis. Hoffmann und die Musik", Neue Zeitschrift für Musik, 124 (1963), pp.260-73, are of the opinion that this is true of Hoffmann's oeuvre as a whole and that this shows that Hoffmann did not try to 'romanticize' the world. This is a viewpoint that cannot be sustained for the simple reason that, as a result of his better understanding of Idealism and Romantic aesthetics after 1812 (cf. notes 15 and 36, chapter II), Hoffmann came to feel that conciliation can never take place in the work of art itself, only in the mind of the reader. The work can never offer conciliation, it can only create the preconditions. The work of art must undergo constant relativisation and destruction in order to create the conditions for new insight to take place.
24. HW I, p.67.
25. HW I, p.69.
26. Inge Stegmann, "Die Wirklichkeit des Traumes bei E.T.A. Hoffmann", Zeitschrift für Deutsche Philologie, Sonderheft, 95 (1976), pp.64-93.
27. Cf. note 36, chapter II.
28. HW I, p.70.
29. HW I, p.71. It is also evident from the quotation that Hoffmann's interest in mesmerism and somnambulism had been awakened. Cf. also note 46, chapter II.
30. HW I, p.75.
31. HW II, p.432.
32. Hoffmann had completed Nachricht von den neuesten Schicksalen des Hundes Berganza by March 1813. Thus in an entry in his diary dated 29.3.1813 (E.T.A. Hoffmann, Tagebücher, p.200) he writes: 'Bey Kunz mit dem Manuskr(ipt) des Berganza'. The tale was first published in volume II of the Fantasiestücke in 1814.
33. As M.M. Raraty points out in "Hoffmann und die mimisch-

plastische Künstlerin", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 13 (1967), p.43: 'Der Hund Berganza erwähnt ausdrücklich die Gefahr, die man bei dem Versuch läuft, etwas oder jemanden vollkommen nachzuahmen'. Then on page 44 we are told: 'Es scheint schließlich, als ob die mimische Kunst etwas in sich enthält, das Hoffmanns künstlerischen Idealen gerade entgegengesetzt ist, insofern diese auf die Musik gegründet sind.'

34. HW I, p.82.
35. HW I, p.91.
36. HW I, p.194.
37. Cf. note 15, chapter II.
38. HW I, p.93.
39. HW I, p.94. The fall from this state of harmony goes hand in hand with the divorce of language from the objects it is attempting to portray. August Wilhelm Schlegel has the following to say on this problem and in so doing, pre-empts much of modern linguistics: 'Die Ableitung der Wörter wird durch den Verlauf der Zeit unkenntlich, indem sie selbst sich nach der Bequemlichkeit der Sprechenden richtet, jene Symbolik, strengeren aber todten Bestimmungen des Verstandes weichen: und so wird im Fortgange der Cultur die Sprache aus einer Einheit lebendiger Bezeichnung in eine Sammlung willkürlicher conventioneller Zeichen verwandelt erscheinen.' (August Wilhelm Schlegel, Vorlesungen über schöne Literatur und Kunst, p.282. Compare this to the Saussurean linguistics, cf. notes 17 and 20, chapter I.
40. HW I, p.132.
41. HW I, p.133.
42. HW I, p.133. Writing about the structuralist theory of the novel Jean Ricardou describes this as the 'Réfraction de la vie dans le cristal particulier d'un auteur'. (Jean Ricardou, Problemes du nouveau Roman (Paris, 1967), p.24.)
43. Novalis, Schriften, I, p.198.
44. HW I, p.142.
45. HW I, p.162.
46. HW I, pp.169-70.
47. Cf. notes 15 and 36, chapter II.

48. E.T.A. Hoffmann, Tagebücher, 12.1.1811.
49. Cf. August Wilhelm Schlegel's summation of this function reproduced on page 8 of this thesis.
50. Cf. the summary of Hoffmann's poetic technique on p.29 of this thesis which also neatly summarises the core of Friedrich Schlegel's aesthetics.
51. A.W. Schlegel makes the following distinction between ancient and Romantic art: 'Die gesamte alte Poesie und Kunst ist gleichsam ein rhythmischer Nomos, eine harmonische Verkündigung der auf immer festgestellten Gesetzgebung einer schön geordneten und die ewigen Urbilder der Dinge in sich abspiegelnden Welt. Die romantische hingegen ist der Ausdruck des geheimen Zuges zu dem immerfort nach neuen und wundervollen Geburten ringenden Chaos, welches unter der geordneten Schöpfung, ja in ihrem Schooße sich verbirgt'. (A. W. Schlegel, Werke, VI, edited by E. Böckling (Leipzig, 1846-47), p.161).
52. Ralph Ewton, The Literary Theories of August Wilhelm Schlegel (The Hague/Paris, 1972), p.71.
53. E.T.A. Hoffmann, Briefwechsel, II, 30.8.1816, p.100. Hoffmann writes to Hippel: 'Ich schreibe keinen goldnen Topf mehr! - So was muß man nur recht lebhaft fühlen und sich selbst keine Illusion machen!'
54. Kenneth Negus, "E.T.A. Hoffmann's 'Der goldne Topf': Its Romantic Myth", The Germanic Review, 34 (1959), pp.262-75
55. Wulf Segebrecht, Autobiographie und Dichtung im Werk E.T.A. Hoffmanns (Stuttgart, 1967), p.134.
56. Wolfgang Nehring, "E.T.A. Hoffmanns Erzählwerk. Ein Modell und seine Variationen", Zeitschrift für Deutsche Philologie, Sonderheft, 95 (1976) pp.3-24.
57. Nehring, "E.T.A. Hoffmanns Erzählwerk", p.24.
58. Fritz Martini, "Die Märchendichtungen E.T.A. Hoffmanns", p.63.
59. Knut Willenberg, "Die Kollision verschiedener Realitätsebenen als Gattungsproblem in E.T.A. Hoffmanns 'Der goldne Topf'", Zeitschrift für Deutsche Philologie, Sonderheft, 95 (1976), pp.93-113. HW I, p.203.
60. Helmut Motekat, "Von Sehen und Erkennen bei E.T.A. Hoffmann", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 19 (1973), p.20.

61. Lothar Pikulik, "Anselmus in der Flasche. Kontrast und Illusion in E.T.A. Hoffmanns 'Der goldne Topf'", Euphorion (1969), p.369.
62. Johann Christian Wiegleb, Johann Nicolaus Martius' Unterricht in der natürlichen Magie oder zu allerhand belustigenden und nützlichen Kunststücken (1779, second edition Berlin, 1782)
63. E.T.A. Hoffmann, Schriften zur Musik Nachlese, edited by Walter Müller-Seidel (Darmstadt, 1963), p.908.
64. HW I, p.12-13.
65. HW I, p.182.
66. HW I, p.184.
67. John Reddick, "E.T.A. Hoffmann's 'Der goldne Topf' and its 'durchgehaltene Ironie'", Modern Language Review, 71 (1976), p.588.
68. HW I, p.193.
69. HW I, p.194.
70. HW I, p.205.
71. Cf. Angelika's ability to create a fantasy world for herself, HW I, pp.206-207.
72. HW I, p.419.
73. Robert Mühlher, "Leitmotiv und dialektischer Mythos in E.T.A. Hoffmanns Märchen 'Der goldne Topf'", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 1 (1938-39) p.88. Cf. also in connection with this Robert Mühlher, "Prinzessin Brambilla Ein Beitrag zum Verständnis der Dichtung", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 5 (1958) pp.5-24.
74. E.T.A. Hoffmann, Briefwechsel, I, 4.3.1814, p.445.
75. E.T.A. Hoffmann, Briefwechsel, I, 16.1.1814, p.439.
76. HW I, p.197.
77. HW I, pp.321-22.
78. O.F. Bollnow, "Der goldne Topf und die Naturphilosophie der Romantik"; John Reddick, "E.T.A. Hoffmann", German Men of Letters, V, edited by Alex Natan (London, 1969). Reddick has somewhat reduced the vigour of his argument in his more recent "E.T.A. Hoffmann's 'Der goldne Topf' and its 'durchgehaltene Ironie'", however, his main thesis that satire and irony predominate in the tale, remains the same.

79. Horst Dämmrich, The Shattered Self. E.T.A. Hoffmann's Tragic Vision (Detroit, 1973) is an existentialist view of Hoffmann's oeuvre. M.M. Tatar, "Mesmerism, Madness and Death" and James McGlathery, "The suicide motif in E.T.A. Hoffmann's 'Der goldne Topf'".
80. Dieter Henrich, "Kunst und Natur in der Idealistischen Ästhetik", Nachahmung und Illusion, edited by H.R. Jaus (Munich, 1969), p.131.
81. John Reddick, "E.T.A. Hoffmann's 'Der goldne Topf'", p. 590.
82. Roland Heine, Transzendentalpoesie, p.198.
83. HW I, p.250.
84. HW I, pp.254-55.
85. HW I, p.255.
86. E.T.A. Hoffmann, Tagebücher, p.259: 'Abends Chamisso, Hitzig und Contessa (Contessa) bey mir - Die Erzählung vor-gelesen'. E.T.A. Hoffmann, Tagebücher, p.260: 'Den Brief an Kunz mit der Erzählung an Speier (Speyer) abgesendet - (Auf dem Durchschußblatt:) Brief an Kunz'.
87. HW I, p.256.
88. This is also the theme of Der Sandmann. As we shall see, both tales are fundamentally about artistic creativity.
89. Segebrecht, Autobiographie und Dichtung, pp.128-29.
90. August Langen, "Zur Geschichte des Spiegelsymbols in der deutschen Dichtung", Germanisch-Romanische Monatsschrift, 28 (1940), pp.268-80.
91. Ernst Fedor Hoffmann, "Spiegelbild und Schatten. Zur Behandlung ähnlicher Motive bei Brentano, Hoffmann und Chamisso", Lebendige Form. Interpretationen zur deutschen Literatur (Munich, 1970), pp.167-88.
92. HW I, p.271.
93. HW I, p.265.
94. Compare the above quotation with pp.250-55. of Der goldne Topf.
95. E.T.A. Briefwechsel, II, p.77.
96. Wolfgang Nehring, "E.T.A. Hoffmanns Erzählwerk", pp.10-11.
97. HW I, p.333.

98. This is also true of other Hoffmann characters: we have only to think of Medardus in Die Elixiere des Teufels as an example.
99. HW I, p.336.
100. HW I, p.337
101. HW I, p.339.
102. See in particular John Reddick, "E.T.A. Hoffmann", pp.87-88.
103. Once again techniques developed in Der goldne Topf are used. The reader will remember that when Anselmus' insight is at its peak and the reader is totally involved in the curious happenings, the rug is, so to speak, pulled out from under both of them with the words: 'Der Herr ist wohl nicht recht bei Troste!' (HW I, p.184).
104. HW I, p.343.
105. HW I, p.346.
106. HW I, pp.321-22.
107. HW I, p.325.
108. HW I, p.344.
109. Klaus Günzel, "E.T.A. Hoffmanns Entwicklung als Schriftsteller", p.26.
110. Sigmund Freud, "Das Unheimliche", E.T.A. Hoffmanns Leben und Werk in Daten und Bildern, edited by Gabrielle Wittkop Ménardeau (Frankfurt, 1968), pp.7-18; Ingrid Aichinger, "E.T.A. Hoffmanns Novelle 'Der Sandmann' und die Interpretation Sigmund Freuds", Zeitschrift für Deutsche Philologie, Sonderheft, 95 (1976), pp.113-32; S.Weber, "The Sideshow or Remarks on a Canny Moment", Modern Language Notes, 88 (1973), pp.1102-03; Siegbert Praver, "Hoffmann's Uncanny Guest: A reading of Der Sandmann", German Life and Letters, 18 (1964-65), pp.297-308.
111. E.T.A. Hoffmann, Briefwechsel, II, 9.2.1816, p.88, Hoffmann apologises for the delay in completing the work and promises it will be ready soon.
112. HW I, p.414.
113. HW I, p.414.
114. On the relationship between art and architecture, A.W. Schlegel is of the opinion that whether architecture is art or not depends on whether its form is governed by aesthetic or utilitarian considerations. Gothic

architecture is art because even though it serves a purpose its form is artistic; it is a complete and finished system. In the Berlin Lectures Schlegel tells us that the romantic is art because it is a unified and organic whole. Thus the equation is made between Gothic architecture and Romantic art. (A.W. Schlegel, Vorlesungen über schöne Literatur und Kunst, III, p.8).

115. This of course ties in with Hoffmann's admiration of the Italian 'Buffo' and the 'Commedia del arte', the 'wahre Komödie'.
116. HW I, p.418.
117. HW I, p.418.
118. HW I, p.428.
119. HW I, p.430.
120. HW I, p.432.
121. HW I, p.459.
122. Lothar Pikulik, "Das Wunderliche bei E.T.A. Hoffmann", Euphorion, 69 (1975), pp.294-319.
123. HW I, p.460.
124. HW I, p.461.
125. HW I, p.468. It is no coincidence that these visions appear in the deliria before sleep, as according to the writings of Mesmerists this state approximates a somnambulist trance.
126. HW I, p.469.
127. HW I, p.470.
128. The reader is reminded of Coppola's words 'hab auch sköne Oke - sköne Oke!' when he sells Nathanael spectacles. In addition there is a further parallel between the two tales, the mirror which Theodor buys reminds him of an 'Ammenmärchen' by means of which 'mich in früher Kindheit meine Wartefrau augenblicklich zu Bette trieb, wenn ich mich etwa gelüsten ließ, abends vor dem großen Spiegel in meines Vaters Zimmer stehen zu bleiben und hinein zu gücken. Sie sagte nämlich, wenn Kinder nachts in den Spiegel blickten, gucke ein fremdes, garstiges Gesicht heraus, und der Kinder Augen blieben dann erstarrt stehen... Einmal glaubt ich ein Paar gräßliche glühende Augen aus dem Spiegel fürchterlich herausfunkeln zu sehen, ich schrie auf und stürzte ohnmächtig

nieder!(HW I, p.471).

129. HW I, p.470.

130. HW I, p.472.

131. HW I, p.474.

132. Cf. pp.87-88 of this thesis.

133. HW I, p.476.

134. HW I, p.477.

CHAPTER IV

1. Although Die Elixiere des Teufels is Hoffmann's first published novel he had made a number of attempts at writing a novel prior to this, unfortunately none of them is extant. The first, Cornaro, Memoiren des Grafen Julius von S., is mentioned in a number of letters to Hippel (cf. E.T.A. Hoffmann, Briefwechsel, I, pp.60-62). Another novel, Der Geheimnisvolle is mentioned in a letter to Hippel dated the 25.10.1795 (Briefwechsel, I, pp.66-67). Finally, Der Riese Gargantua which remained uncompleted (Cf. Briefwechsel, I, 28.2.1804, p.184 and 11-14.5.1804, p.190).
2. E.T.A. Hoffmann, Tagebücher, p.248.
3. Marianne Thalmann, Der Trivialroman des 18. Jahrhunderts und der romantische Roman. Ein Beitrag zur Entwicklungsgeschichte der Geheimbundmystik (Berlin, 1923).
4. Matthew Gregory Lewis, The Monk, (reprint edition London/New York, Toronto, 1973).
5. Charles Passage, "E.T.A. Hoffmann's 'The Devil's Elixirs': A Flawed Masterpiece", Journal of English and Germanic Philology (1976), pp.531-45.
6. It is only necessary to look at Lewis' heroines in this respect, one of whom represents an amalgam of love and vice while the other is both virtuous and morally weak, to understand why the novel held such an attraction for Hoffmann and why The Monk transcends the Gothic novel.
7. Hans-Georg Werner, E.T.A. Hoffmann. Darstellung und Deutung der Wirklichkeit, pp.75-77.
8. Karin Cramer, "Die Fragwürdigkeit der menschlichen Identität", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 14 (1968), p.31.
9. Peter von Matt, Die Augen der Automaten. E.T.A. Hoffmanns Imaginationslehre als Prinzip seiner Erzählkunst (Tübingen, 1971), p.55-67.
10. Horst Dämmrich, The Shattered Self, p.98.
11. Wulf Segebrecht, Autobiographie und Dichtung, p.205.
12. James McGlathery, "Demon Love. E.T.A. Hoffmann's 'Elixiere des Teufels'", Colloquia Germanica, 12 (1979), pp.70-71.

13. Kenneth Negus, "The Family Tree in E.T.A. Hoffmann's 'Die Elixiere des Teufels'", P.M.L.A., 73 (1958), pp. 516-20.
14. Dietrich Raff, Ich-Bewußtsein und Wirklichkeitsauffassung bei E.T.A. Hoffmann. Eine Untersuchung der „Elixiere des Teufels“ und des „Kater Murr“ (Rottweil, 1971), pp.80-81.
15. HW II, p.229.
16. HW II, pp. 12-13.
17. Hoffmann provides us with a definitive example of the way in which myth can also instil fear in an impressionable child in Der Sandmann.
18. HW II, p.13.
19. The cross brands the young Franz in much the same way it brands a vampire. Hoffmann himself was well versed in the legends surrounding vampires as a result of his time in Poland. Here the motif is probably used to denote the latent malignancy within the hero of the novel. Cf. also Hoffmann's tale mostly known as Vampirismus in Die Serapions-Brüder, p.929-941.
20. HW II, p.14.
21. HW II, p.16.
22. HW II, p.17.
23. We have only to think of Kreisler in this context to understand that it is not religion itself which is important as a stimulus for insight, but that rather it is the choral music which acts as a lever.
24. Novalis, Schriften, I, p.205.
25. In particular the encounter with the sister of the 'Konzertmeister', which leads to an irrational outbreak of lust in the young Medardus.
26. HW II, p.22.
27. Another example of the way in which the monastery cannot possibly be a permanent home for the artist. Anything that is not explainable rationally is seen as the workings of an external force.
28. HW II, p.28.
29. Writing in "Hoffmann's Uncanny Guest", Siegbert Praver says 'Hoffmann's sympathies would have been with

Jung rather than Freud as is indeed only natural when we consider that there is a direct line between Jung's mode of thinking and that of writers like Schelling, Baader, Reil and G.H. Schubert, whom Hoffmann read with great avidity. For Hoffmann the personal unconscious is a means of gaining contact with something larger and deeper... which we may equate, without serious distortion, with Jung's 'collective unconscious.' (p.302)

30. HW II, pp.28-29.
31. D. Raff, Ich-Bewußtsein und Wirklichkeitsauffassung, p.76.
32. It will be shown that rather than symbolising artistic success, Medardus' return to the monastery shows his inability to reconcile the antinomies of the world within himself. In Lebens-Ansichten des Katers Murr, Kreisler would dearly love to find peace in the haven of the monastery but is driven out because it proves to be an artistically sterile environment.
33. Wolfgang Nehring, "E.T.A. Hoffmanns Erzählwerk", p.18.
34. We have seen that Hoffmann began work on Die Elixiere des Teufels in 1814 (cf. p.111 of this thesis), in other words after he had begun reading the works of the Idealist philosophers, mesmerists and psychologists. (cf. notes 15 and 36 of chapter II).
35. Karin Cramer, "Die Fragwürdigkeit der menschlichen Identität", p.31 (cf. note 8, p.113).
36. Gisela Maucher, "Das Problem der dichterischen Wirklichkeit", pp.31-32.
37. Natalie Reber, Studien zum Motiv des Doppelgängers bei Dostojewskij und E.T.A. Hoffmann (Marburg, 1964).
38. HW II, p.32.
39. Reber goes too far when she suggests that the old painter is also one of Medardus' 'Doppelgänger' (p.116). Rather, as a member of Medardus' line, he should be regarded as a part of Medardus' 'Gesamt-Ich' and the personification of the artist's dilemma.
40. Horst Dämmrich, The Shattered Self, (Also cf. p.114 of this thesis) pp.97-98.
41. HW II, p.59.
42. HW II, p.61.
43. HW II, p.75.

44. Reil (Rhapsodien) and Kluge (Versuch einer Darstellung des animalischen Magnetismus) both mention numerous case studies of patients who, after outbreaks of psychotic behaviour, lapse into unconsciousness. As mentioned previously, Hoffmann uses this phenomenon both in Der goldne Topf and Der Sandmann.
45. Reber, Studien zum Motiv des Doppelgängers, p.122.
46. HW II, p.79.
47. HW II, p.79.
48. Reber, Studien zum Motiv des Doppelgängers, p.139.
49. HW II, p.85.
50. HW II, p.98.
51. Cf. works by Kluge, Reil, Schubert and Wolfart which all list cases, in greater or lesser detail, of the phenomenon of 'Doppelschlaf'.
52. HW II, p.105.
53. The rapid transition from one geographic location to the next without any attempt at transition provides evidence for the theory that much of the novel can be understood as cerebral and that the breaks are in fact instantaneous psychic leaps between one idea and the next and as such can be paralleled to the workings of the imagination.
54. HW II, p.124.
55. HW II, p.125.
56. Cf. narrator intrusion, HW I, p.343.
57. HW II, p.143.
58. This could also be interpreted as repression on Medardus' part. Because he cannot accept the truth of the conclusions he has inexorably reached as a result of the writing of the novel, he voices the conclusions he has come to through the mouths of other characters in the novel.
59. HW II, p.149.
60. HW II, p.153.
61. HW II, pp.153-54.
62. For example, compare Medardus' reaction to that of

Francesco when he meets the Italian princess (p.145).

63. HW II, p.143. Differentiating between the events is made even more difficult by the fact that there is a lack of chronology in the novel. Time in Die Elixiere des Teufels is fictional and as such dependent on the material to be narrated.
64. The question of sin and predestination is never adequately dealt with in the novel. Indeed, there is some evidence to support the thesis that Hoffmann himself became confused as to their function. We have only to look at the conscious downgrading of predestination in volume II which in no way follows causally from volume I, to see the extent of this confusion. Perhaps this in part explains Hoffmann's regret in later life that he had volumes I and II published separately: 'Das Buch (the Lichte Stunden eines wahnsinnigen Musikers) ist ganz etwas anders worden als ich im Sinn hatte. Es ist mir damit so ergangen wie mit dem ersten Bande der Elixiere des Teufels, den ich nicht (vor dem 2.) hätte drucken lassen sollen' (E.T.A. Hoffmann, Briefwechsel, II, 8.3.1818, p.159). Hoffmann expresses similar doubts in Die Serapions-Brüder in 1819, when he allows Cyprian to say: 'und ich möchte beinahe wünschen, jenes fantastische Buch, das indessen doch als Warnungszeichen den Teufel an der Stirn trägt, vor dem sich ein jeder hüten kann, nicht in die Welt geschickt zu haben.' (HW III, pp.28-29)
65. Dämmrich, The Shattered Self, p.98.
66. Here Hoffmann appears to be taking a stand against an oversimplistic view of the imagination and man's ability to reside only in the world of the imagination.
67. HW II, p.163.
68. Reber interprets this scene as the unconscious breaking through into the world of conscious activity cf. pp.126-27.
69. HW II, p.172.
70. HW II, pp.184-85.
71. HW II, p.185.
72. As Reber points out, however, this union is only temporary, once again Medardus manages to shake off his 'Doppelgänger', and, as a result, part of himself (cf. Reber, pp.129-30).
73. HW II, p.211.
74. HW II, pp.213-14.

75. HW II, pp.217-18.
76. Praver ("Hoffmann's Uncanny Guest", p.301) is of the opinion that it pre-empts Freud in its allusion to a 'moral censor'; however, rather than Hoffmann pre-empting Freud, the concept comes from Kluge, Reil, Schubert etc., all of whom discuss the existence of a 'Scheidewand' separating the cerebral and non-cerebral ('ganglionic') cortex.
77. HW II, p.218.
78. Cf. p.14 of this thesis.
79. Charles Passage ("E.T.A. Hoffmann's 'The Devil's Elixirs'", p.533) says that at the time of publication 'Nothing seemed right about the book. It was ahead of its time.'
80. HW II, pp.224-25.
81. HW II, p.225.
82. Cf. note 64 of this chapter.
83. HW II, p.247.
84. HW II, p.248.
85. HW II, p.250.

CHAPTER V

1. Cf. in particular K. Günzel, "Zu E.T.A. Hoffmanns Entwicklung als Schriftsteller" and R. Mollenauer, "The Three Periods of E.T.A. Hoffmann's Romanticism".
2. H.A. Korff, Geist der Goethezeit, IV (Leipzig, 1953), p.597.
3. Ilse Winter, Untersuchungen zum serapiontischen Prinzip E.T.A. Hoffmanns (The Hague/Paris, 1976), pp.75-83.
4. Thomas Cramer, Das Groteske bei E.T.A. Hoffmann (Munich, 1966), p.84.
5. Johannes Klein, Geschichte der deutschen Novelle von Goethe bis zur Gegenwart (Wiesbaden, 1954), pp.75-76.
6. Wulf Segebrecht, Autobiographie und Dichtung, p.133.
7. HW III, p.7.
8. Cf. E.T.A. Hoffmann, Briefwechsel, II, p.156 note 3.
9. Almost every work dealing with Die Serapions-Brüder spends a considerable time attempting to discover the real-life counterparts of the brethren. It is generally accepted that these are Chamisso, Contessa, Fouqué, Hippel, Hitzig, Koreff and, of course, Hoffmann himself. Apart from historical interest, however, it does not help us in any major way to achieve a greater understanding of the cycle of tales. It would seem, therefore, to be misapplied effort to attempt to discover which of the group speaks for Hoffmann. While Cyprian and Theodor come closest to espousing what are considered to be Hoffmann's own views, it is clear that at some time or other each of the individual members speaks for Hoffmann.
10. As pointed out above while all the members speak for Hoffmann at different times, Theodor and Cyprian generally speak for him. As a result, the hypothesis could be made that the other characters are used to espouse views on art which Hoffmann accepts and considers important but which are not central issues.
11. The idea for Die Serapions-Brüder was suggested to Hoffmann by his publisher Reimer, as a way of collecting a number of tales published previously in various journals and magazines and of re-publishing them in book-form along with a number of unpublished tales. Cf. E.T.A. Hoffmann Briefwechsel, II, p.155, Nr. 734.

12. HW III, p.10.
13. HW III, p.22.
14. HW I, p.194. Cf. also p.85 of this thesis.
15. Kenneth Negus, E.T.A. Hoffmann's Other World, p.73.
16. HW III, p.26.
17. HW III, pp.26-27.
18. Cf. pp.79-80 of this thesis.
19. Cf. E.T.A. Hoffmann, Briefwechsel, II, 22.9.1816, p.105.
20. HW III, p.43.
21. Segebrecht, Autobiographie und Dichtung, p.134.
22. HW III, pp.53-54.
23. HW III, p.54.
24. HW III, p.54
25. HW III, p.57.
26. HW III, p.55.
27. E.T.A. Hoffmann, Briefwechsel, II, 12.1.1815, pp.34-35.
28. HW III, pp.58-59.
29. HW III, p.74.
30. HW III, p.101.
31. HW III, p.145.
32. HW III, p.145.
33. HW III, p.146.
34. HW III, pp.148-49.
35. M.M. Raraty, "Hoffmann und die „Ombres Chinoises“",
Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 11 (1964)
p.17.
36. HW III, p.149.
37. HW III, p.150.
38. HW III, p.153.

39. HW III, p.158.
40. HW III, p.169.
41. This is already implicit in Ritter Gluck and is developed further in Der goldne Topf and made explicit in Der Artushof.
42. HW I, p.419.
43. HW III, pp.197-98.
44. Hoffmann could be indirectly criticising himself here, as he must have been aware that on a number of occasions he also produced works of dubious quality and little originality.
45. Cf. note 9 of this chapter. It has been suggested that the two new members represent Fouqué and Hippel.
46. If one considers each member of the brethren as embodying a particular aspect necessary in a poet one could tentatively venture the hypothesis that Cyprian embodies the interest in the fantastic, Lothar the necessary degree of rationalism, Vinzenz irony, Sylvester reflectiveness with Theodor representing the medium between all these disparate qualities which ideally the Romantic poet should have.
47. Richard Wagner used this scene from Der Kampf der Sängers in Act 1, Scene 1 of the opera Tannhäuser.
48. HW III, p.276.
49. This activity which Fichte terms 'produktive Einbildungskraft' is in fact consciousness unconsciously seeking, in an act of self-confinement, to mark itself off from the 'Nicht-Ich'. By reflecting upon itself, it is possible for this newly discovered higher consciousness to transcend the bounds of its own knowledge by making knowledge of the ego the object of knowledge itself. In addition to 'intellektuelle Einbildungskraft', Fichte also calls this activity 'Einsicht', 'unmittelbare Gewißheit' or 'sehen das sich selber sieht'.
50. HW III, p.276.
51. HW III, p.355.
52. HW III, p.278.
53. HW III, pp.278-79.
54. HW III, p.279.

55. One has only to think of Gluck, Anselmus and Edmund Lehnen amongst others.
56. Johannes Kreisler could be included in this category, other obvious examples are Berthold or Krespel.
57. HW III, p.316. Hoffmann's description of Heinrich von Ofterdingen could equally well be a description of his greatest fictional creation the 'Kapellmeister' Kreisler.
58. HW III, p.280.
59. HW III, p.282.
60. HW III, pp.282-83.
61. HW III, p.295.
62. HW III, p.301.
63. HW III, p.315.
64. HW III, p.316.
65. Hoffmann had already written Nußknacker und Mausekönig for volume I of the Kinder-Mährchen in 1816.
66. Urs Orland von Planta, E.T.A. Hoffmanns Märchen "Das Fremde Kind" (Bern, 1958).
67. HW I, p.193.
68. HW III, p.490.
69. HW III, pp.253-54.
70. HW III, p.254.
71. HW III, p.511.
72. HW III, p.319.
73. HW III, p.532.
74. HW III, p.532.
75. HW III, p.532.
76. Cf. p.86 of this thesis.
77. HW III, p.533.
78. HW III, p.541.

79. HW III, p.545.
80. HW I, p.183.
81. Nathanael's description of Clara when she makes it clear to him that she does not admire his poetry. (HW I, p.348).
82. As already mentioned (pp.98-99) John Reddick (German Men of Letters, V, pp.87-88) sees her positively and describes her as 'perhaps the only really convincing full-blooded woman character in his work'.
83. HW III, p.597.
84. HW III, p.598.
85. HW III, p.599.
86. HW I, p.12.
87. HW I, p.13.
88. HW III, p.599.
89. HW III, p.644.
90. Cf. amongst others Helmuth Himmel, "Schuld und Sühne der Scuderi", Mitteilungen der E.T.A. Hoffmann Gesellschaft, 7 (1960), pp.1-15; Klaus Kanzog, "E.T.A. Hoffmanns Erzählung 'Das Fräulein von Scuderi' als Kriminalgeschichte", Mitteilungen der E.T.A. Hoffmann-Gesellschaft, 11 (1964), pp.1-11 and K.D. Post, "Kriminalgeschichte als Heilgeschichte. Zu E.T.A. Hoffmanns Erzählung 'Das Fräulein von Scuderi'", Zeitschrift für Deutsche Philologie, Sonderheft, 95 (1976), pp.132-156.
91. E.T.A. Hoffmann, Briefwechsel, II, 6.9.1820, p.269.
92. Cf. pp. 172-173 of this thesis and the way in which Hoffmann uses precisely this technique in Der Artus-Hof.
93. HW III, p.945.
94. Amandus von Nebelstern is in fact a caricature of the poet Franz Horn, a teacher in Berlin and an acquaintance of Fouqué. In a letter to Dümmler dated the 20.3.1821 (E.T.A. Hoffmann, Briefwechsel, II, p.301), Hoffmann asks him for an edition of Horn's poetry.
95. HW III, pp.947-48.

96. HW III, pp.948-49.
97. HW III, p.993.
98. HW III, p.994.
99. HW III, pp.994-5.

CHAPTER VI

1. Regine Jebben, Kunstanschauung und Wirklichkeitsbezug bei E.T.A. Hoffmann, unpublished dissertation (Kiel, 1952).
2. Hans Mayer, "Die Wirklichkeit E.T.A. Hoffmanns", in Mayer, Von Lessing bis Thomas Mann. Wandlungen der bürgerlichen Literatur in Deutschland (Pfullingen, 1959), pp.198-246.
3. Hans-Georg Werner, Darstellung und Deutung der Wirklichkeit, p.193.
4. E.T.A. Hoffmann, Briefwechsel, II, p.254: 'Nichts angenehmeres, mein geliebtester Freund! hätte mir widerfahren können als daß Sie, wie mir eben Max sagt, die Korrektur der Brambilla, von der ich mit diesem Brieflein Caput V andeuterich sende, übernommen!' Although Prinzessin Brambilla was published in October 1820 it was dated 1821.
5. Hoffmann was writing Die Königsbraut in the period 1820-21 and the final volume of Die Serapions-Brüder was published in 1821.
6. Helmut Müller, Untersuchungen zum Problem der Formelhaftigkeit bei E.T.A. Hoffmann (Bern, 1964), p.94.
7. For reviews of Prinzessin Brambilla at the time of publication see E.T.A. Hoffmann, Werke, X, edited by G. Ellinger (Berlin, 1927), pp.8-9.
8. Friedrich Schnapp (Ed.), E.T.A. Hoffmann in Aufzeichnungen seiner Freunde und Bekannten (Munich, 1974), pp.549-550.
9. G. Ellinger, E.T.A. Hoffmann Sein Leben und seine Werke (Hamburg/Leipzig, 1894), p.163.
10. Heide Eilert, Theater in der Erzählkunst Eine Studie Studie zum Werk E.T.A. Hoffmanns (Tübingen, 1977), p.90.
11. Walter Harich, E.T.A. Hoffmann Das Leben eines Künstlers, 2 volumes (Berlin, 1920), p.319.
12. H.A. Korff, Geist der Goethezeit, IV, p.637.
13. Fritz Martini, "Die Märchendichtungen E.T.A. Hoffmanns", p.65.
14. Robert Mühlher, "Prinzessin Brambilla", p.24.
15. Klaus Günzel, "Zu E.T.A. Hoffmanns Entwicklung als Schriftsteller", pp.29-30.

16. Thomas Cramer, Das Groteske bei Hoffmann, p.96.
17. Winfried Sdun, E.T.A. Hoffmanns Prinzessin Brambilla. Analyse und Interpretation einer erzählten Komödie, unpublished dissertation (Freiburg i. Br., 1961), p.117.
18. M.M. Raraty (Ed.), E.T.A. Hoffmann, Prinzessin Brambilla, with a foreword (Oxford, 1972) p.XX.
19. M.M. Raraty, Prinzessin Brambilla, p.XXXII.
20. J. F-A. Ricci, E.T.A. Hoffmann l'homme et l'oeuvre.
21. H. Müller, Untersuchungen zum Problem der Formelhaftigkeit bei E.T.A. Hoffmann, p.95.
22. J.E. Hitzig, "Aus Hoffmanns Leben und Nachlaß", E.T.A. Hoffmann in Aufzeichnungen seiner Freunde und Bekannten, edited by F. Schnapp, pp.525-26.
23. Bonaventura Tecchi, "E.T.A. Hoffmanns Prinzessin Brambilla", Weltbewohner und Weimaraner, Festschrift für Ernst Beutler (Zürich/Stuttgart, 1960), p.302.
24. B. Tecchi, "Prinzessin Brambilla", p.302.
25. W. Segebrecht, Autobiographie und Dichtung, p.124.
26. It is necessary to remember that in other 'late' tales Hoffmann does not write about actors. Thus in Des Vettters Eckfenster it is the creative writer who is dealt with while in Kater Murr we are reintroduced to Kreisler. Above all, however, the artist who determines all Hoffmann's works is the narrator and Hoffmann's theme is essentially that of creative writing.
27. Lothar Pikulik, Romantik als Ungenügen an der Normalität am Beispiel Tiecks, Hoffmanns, Eichendorffs (Frankfurt, 1979), p.422.
28. R. Jebesen, Kunstanschauung und Wirklichkeitsbezug, p.129.
29. M.M. Raraty, Prinzessin Brambilla, p.XVI.
30. R. Jebesen, Kunstanschauung und Wirklichkeitsbezug, p.127.
31. Other tales with a chronological proximity to Prinzessin Brambilla such as Die Königsbraut and Kater Murr also evince an increase in the use of parody and irony. Cf. Bernd Krolop, Versuch einer Theorie des phantastischen Realismus. E.T.A. Hoffmann und Franz Kafka (Frankfurt, 1981), who points out the many examples of parody in Kater Murr.

32. Pages 174-76 and p.204 of this thesis show how there is a downgrading in the importance of the characters of Hoffmann's tales. This shows itself initially in the increasingly sparse character delineations and in the use of character 'stereotypes'.
33. L. Pikulik, Romantik als Ungenügen an der Normalität, suggests that the form of the arabesque has much the same function as 'das romantische Reisen' in that it represents 'der eigentliche Weg zum Wesentlichen'(p.408).
34. HW IV, p.310.
35. M.M. Raraty, Prinzessin Brambilla, p.X.
36. HW IV, p.248.
37. HW IV, pp.249-50.
38. HW IV, p.250.
39. Robert Mühlher, "Prinzessin Brambilla", Cf. also Mühlher's "Leitmotiv und dialektischer Mythos in E.T.A. Hoffmanns Märchen 'Der goldne Topf'", which also bases its interpretation on Fichte's philosophy.
40. R. Mühlher, "Prinzessin Brambilla", p.6.
41. R. Mühlher, "Prinzessin Brambilla", pp.5-6.
42. R. Mühlher, "Prinzessin Brambilla", p. 6
43. R. Mühlher, "Prinzessin Brambilla", p.7.
44. L. Pikulik, Romantik als Ungenügen an der Normalität, sees the description of the palace of Pistoja as closely resembling a theatre. p.422.
45. HW IV, p.270.
46. HW IV, p.230.
47. HW IV, p.233.
48. Cf. M.M. Tatar, "Mesmerism Madness and Death" and James McGlathery, "The suicide motif in E.T.A. Hoffmann's 'Der goldne Topf'".
49. Cf. M.M. Raraty, Prinzessin Brambilla who deals with the fate of Giglio Fava in some detail. pp.XXXI-XXXVII.
50. HW IV, pp.292-93.
51. HW IV, p.293.

52. Cf. Belcampo's comment about using curling tongs (HW II, p.98).
53. Writing on the circle as a symbol, Robert Donnington, Wagner's 'Ring' and its Symbols (London, 1963, reprint ed. 1974), p.92 has the following to say: 'A ring is a circle, a continuous flow with neither beginning nor end. In mythology, theology, alchemy, dreams and even musical notation, the circle stands for perfection. Since no human being is perfect, the perfection refers not to ego or any component, but to the totality which at the same time includes all aspects of the psyche and is its guiding principle: i.e. to the archetype of the self, of which various symbols make a most insistent appearance in dream imagery and elsewhere at any stage in man's life when he is developing in the direction of wholeness. Symbols for the self, whatever their form, point towards an integration of our opposing tendencies, and in particular of our conscious with our unconscious tendencies. They are uniting symbols.'
54. HW I, p.362.
55. HW II, p.352.
56. HW II, p.541.
57. HW IV, p.315
58. Cf. M.M. Raraty, Prinzessin Brambilla, pp.XXXIV-XXXV.
59. HW IV, p.321
60. HW IV, pp.324-25.
61. HW IV, p.305.
62. HW IV, p.260.
63. J.E. Hitzig, "Aus Hoffmanns Leben und Nachlaß, II", Dichter über ihre Dichtungen, edited by Friedrich Schnapp (Munich, 1974), p.656.
64. HW IV, p.891.
65. G. Ellinger, E.T.A. Hoffmann, p.170.
66. K. Willimczik, E.T.A. Hoffmann. Die drei Reiche seiner Gestaltenwelt (Berlin, 1939), p.337.
67. Regine Jebesen, Kunstanschauung und Wirklichkeitsbezug.
68. It is necessary to remember that Des Vettters Eckfenster

deals with the creation of a work of art. Other tales whose subject matter deals fundamentally with this problem are also frequently devoid of fantastic elements. Cf. for example Johannes Kreislers Lehrbrief or Der Dichter und der Komponist.

69. L. Köhn, Vieldeutige Welt, p.209.
70. L. Köhn, Vieldeutige Welt, p.209.
71. R. Jebesen, Kunstanschauung und Wirklichkeitsbezug, p.138.
72. HW IV, p.597.
73. E.T.A. Hoffmann, Briefwechsel, I, 8.9.1813, p.416.
74. E.T.A. Hoffmann, Briefwechsel, I, 11-14.5.1804, pp. 190-91.
75. HW IV, p.598.
76. HW IV, p.598.
77. L. Köhn, Vieldeutige Welt, p.209.
78. L. Köhn, Vieldeutige Welt, p.209.
79. HW IV, p.599.
80. HW IV, p.599.
81. HW IV, p.600.
82. For a detailed study of Hoffmann's use of optical motifs, cf. Yvonne Holbeche, Optical Motifs in the Works of E.T.A. Hoffmann (Göppingen, 1975).
83. HW IV, p.601.
84. HW IV, p.602.
85. Cf. pp.174-76 of this thesis.
86. HW IV, p.618.

CONCLUSION

1. Cf. p.17 of this thesis.
2. HW IV, p.211.
3. C. Karoli, "Ritter Gluck", p.1.
4. Cf. notes 15 and 36 chapter II.
5. Die Serapions-Brüder formalises this method of poetic procedure both in some of the tales as well as in the aesthetic 'Rahmengespräche'. The definitive example of this formalisation of Hoffmann's poetic technique, however, is Prinzessin Brambilla.
6. Despite the obvious difficulties involved in incorporating Kleist into the Romantic movement, his thought in many ways stunningly parallels that of Hoffmann, including his interest in mesmerism. Other 'awkward' writers in this respect are Hölderlin and Jean Paul which once again highlights the extent to which rigid periodisation can turn into a strait-jacket for the interpreter.
7. It is necessary to bear in mind, as already mentioned, that Die Serapions-Brüder contains tales which span Hoffmann's creative life.
8. Cf. for example the Seltsame Leiden eines Theater-Direktors which is a fictional discussion between two 'theatre directors' about the nature of art. Hoffmann wrote the tale in 1818 although he had written a first draft in 1817, and it was published in 1819.
9. This is the underlying theme of Die Elixiere des Teufels as has been suggested on page 115 of this thesis, however here it is not made nearly as explicit as in Prinzessin Brambilla.
10. We have already had occasion to mention the downgrading of the importance of the individuality of Hoffmann's characters. (cf. pp.174-176), however, in Prinzessin Brambilla, as we have seen (cf. p.230), this is taken much further.
11. If we look at the summary of Hoffmann's poetic technique (p.29 of this thesis) we can see that, by and large, this could also summarise the technique and dramatic procedure of Beckett for example.
12. Maria M. Tatar, Spellbound. Studies on Mesmerism and Literature, p.IX.

13. For an excellent background to this development, cf. Jonathan Culler, The Pursuit of Signs Semiotics Literature, Deconstruction (London/Henley, 1981).
14. Fredric Jameson, "Imaginary and Symbolic in Lacan: Marxism, Psychoanalytic Criticism and the Problem of Subject", Yale French Studies (1978), pp.338-39.
15. This can only be as a result of some form of prejudice against Romanticism still prevalent today. This prejudice manifests itself in the opinion that the work of Goethe exudes health while Romanticism is sick.
16. Donald Fanger, Dostoyevsky and Romantic Realism (Cambridge/Mass., 1965).
16. S. Ferenczi, "Confusion of Language between the Adult and the Child", International Journal of Psychology, 30 (1949), pp.225-30.

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